

LEGISLATIVE BRANCH APPROPRIATIONS FOR
FISCAL YEAR 1994

Y 4. AP 6/2: S. HRG. 103-260

ARINGS

Legislative Branch Appropriations f... BEFORE A

SUBCOMMITTEE OF THE
COMMITTEE ON APPROPRIATIONS
UNITED STATES SENATE
ONE HUNDRED THIRD CONGRESS

FIRST SESSION

ON

H.R. 2348

AN ACT MAKING APPROPRIATIONS FOR THE LEGISLATIVE BRANCH FOR
THE FISCAL YEAR ENDING SEPTEMBER 30, 1994, AND FOR OTHER
PURPOSES

Architect of the Capitol (except House items)
Capitol Police Board
Congressional Budget Office
General Accounting Office
Government Printing Office
Joint Committee on Printing
Library of Congress
Office of Technology Assessment
U.S. Senate

Printed for the use of the Committee on Appropriations



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LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1994

TUESDAY, FEBRUARY 23, 1994

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 10:30 a.m., in room SD-116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.
Present: Senators Reid, Murray, Mack, and Burns.

U.S. SENATE

OFFICE OF THE SECRETARY OF THE SENATE

STATEMENT OF WALTER J. STEWART, SECRETARY OF THE SENATE
ACCOMPANIED BY:

JERI THOMSON, ASSISTANT SECRETARY OF THE SENATE
STUART BALDERSON, FINANCIAL CLERK

OPENING REMARKS

Senator REID. The subcommittee will come to order.

Today the Subcommittee on the Legislative Branch begins the fiscal 1994 budget cycle.

Let me begin by thanking Senator Mikulski for her continued service on this subcommittee. Barbara has been on the subcommittee during her entire career here in the Senate going on 7 years, as have I.

I also want to welcome new members, especially Senator Patty Murray, who has joined the subcommittee on this side. And on the Republican side, we are pleased to have Senator Connie Mack, who will be the new ranking minority member, and Senator Conrad Burns.

I have appreciated the support and cooperation of the minority during the 4 years I have been chairman of this subcommittee; Senator Don Nickles for 2 years and Senator Slade Gorton for 2 years.

I wonder why they keep moving on, though, Jerry. I guess if they looked at my campaign, they would know why. The only grief I had during the campaign was because of my service on this illustrious subcommittee. I'm on these cameras for the next 6 years.

The total budget request for the organizations and activities within our jurisdiction is \$2,639,000,000. This represents an increase of \$336 million, or almost 15 percent, over the amounts available for the current year.

Last Wednesday, the joint leadership of Congress announced that Congress would parallel the executive branch in achieving administrative efficiencies and staffing reductions planned by the Clinton administration. I want to make it clear that this subcommittee is going to have to make reductions to make good on that pledge.

We will have to cut administrative expenses in the legislative branch by 14 percent over the next 4 years and draw down legislative branch positions by four percent by the end of fiscal 1993. It may prove possible to exceed these targets.

In all fairness, it should be pointed out that the legislative branch has already begun the process of reinventing Government on a smaller scale. The legislative branch, in fact, has been on a downward trajectory in real terms for several years now. In constant 1993 dollars, total funding for the legislative branch amounted to \$2.36 billion in 1978. For the current fiscal year, that funding is down to \$2.31 billion.

So, in terms of real resources, the legislative branch is already below where it was already in 1978. Moreover, the total we provided for this year is below a freeze at the 1992 levels.

So last year was a tough budget year for the legislative branch, but that's the good news. The bad news is we are facing an even tougher situation now. Let me give you one fact which I think pretty well sums up the problem.

Beginning in 1994, the Budget Enforcement Act no longer partitions the caps among the three broad categories of defense, international and domestic discretionary spending, and all these programs will compete for dollars under a single cap. The CBO baseline for total discretionary spending is \$551 billion. The budget summit cap for discretionary spending is \$539 billion. This leaves a gap of \$13 billion, or 2 percent overall. But the gap in budget authority will be even larger, depending on the spend-out rate for the cap in question. In other words, it will be necessary to cut appropriations well in excess of 2 percent just to achieve a 2-percent cut in outlays below the CBO baseline.

So even if the subcommittee were to get in an allocation consistent with our proportional share of the discretionary spending cap, we still lack the resources necessary to keep the existing programs intact. More likely, the subcommittee will be working with an allocation that will provide for even a sharper reduction below existing program levels. This implies a general retrenchment in all legislative branch agencies and activities.

So any new initiatives or workload growth will have to be financed from a reduced budget base for agencies. This will inevitably pose many unwelcome tradeoffs. But again, we will try to keep our focus on the core functions of the legislative branch organizations. Activities that may be useful but are not central to an agency's core function are clearly going to have to be reevaluated in the present budget climate.

Senator Murray, do you have anything?

Senator MURRAY. Mr. Chairman, I'm honored to be a part of your committee, and I look forward to working with you as we move through this process.

Senator REID. I appreciate, as I indicated earlier, your being here. The role of this subcommittee is important. It's a thankless

job. I say that without question—and I wish I didn't have to say that, but it's true—but we have responsibilities that we have to move forward on.

One is going to be tomorrow when the resolution comes forward from the Rules Committee funding the various committees of this Congress, and I have the thankless task of cutting a committee or committees that I serve on: Indian Affairs and Aging. It's a really thankless job because those committees do excellent work with select committees.

Then it will come later when we will deal with work of this subcommittee. We have a number of joint committees that we are going to have to take a very serious look at, whether or not they are still important enough that we continue funding. The Joint Economic Committee now has about 60 full-time staff people, and there has to be a decision made by this subcommittee as to whether or not we should continue with that, as an example.

There are other joint committees. I think we have to look at Intelligence, as an example. My personal feeling is that we should maintain two separate intelligence committees—one in the Senate and one in the House—but maybe we might have to take a look at the joint staff of the two committees. I'm not sure they need two separate staffs.

In short, we are going to have to do some things which are going to be very unpopular with our colleagues. Four or five years ago I was told that I had the honor of doing all these nice things for Senators, and they would be happy and pat me on the back. Well, it's just the opposite.

Senator MACK. We just want to make you feel better.

Senator REID. We will have to make some cuts that will make some Members of the Senate unhappy.

So anyway, Senator Murray, I'm very happy that you are here. I understand that you have other obligations dealing with the Banking Committee, and we understand that.

One of the other things that I'm also working on is I was appointed to the reorganization of the Congress committee, and hopefully next year at this time we will all have less splintered responsibilities. We are looking at reorganizing Congress so that Senators will have fewer committees and subcommittees to be answerable to so we could focus our attention on fewer things and do a better job on those things we do.

Senator Mack, I have already patted your two predecessors on the back: Senator Nickles and Senator Gorton. They were both very good to work with, and I think as a result of their input, we were able to do some very responsible things as it relates to franking, as it relates to paring down spending for the General Accounting Office, and other things. We were able to do some good work.

So you and I have spoken privately. We came to the Congress together 10 years ago, and I look forward to working with you, and I know you will be your normal responsible self, and I look forward to working with you.

PREPARED STATEMENTS OF SENATORS MACK AND BURNS

Senator MACK. Thank you.

I have a prepared statement I would like to put in the record, and I would like to say publicly that I do look forward to working with you and working in the tradition of the predecessors that you have mentioned, and I think there is more of a focus now on trying to get control of the size and the scope of the legislative operation, and I look forward to working with you on that.

I have many comments that I could make, but I think at this point I would look forward to hearing from those who have come to present their points of view today.

[The statements follow:]

STATEMENT OF SENATOR CONNIE MACK

Mr. Chairman, it is a pleasure to be here with you today in my first hearing of this subcommittee, and indeed, the first of my tenure on the Senate Appropriations Committee. I trust it will be an auspicious beginning.

The legislative branch of government, and especially the Congress itself, is held in not particularly high regard these days. We are criticized for being overstaffed, overfunded, and overfed with perks and privileges while paying scant attention to the critical needs of our nation and its people.

This sort of criticism is not new—Congress has been criticized fairly and unfairly since its first convening.

But there is clearly a marked change in the political climate, and I believe this subcommittee's deliberations will change from considering the amount of increase above last year's funding to recommend to the full Committee to the amount of reduction below last year to recommend.

The joint leadership of Congress has called for a 4 percent reduction in Legislative Branch personnel over the next two years and a 14 percent reduction in administrative expenses over the next four years. That is a good beginning, but I believe it is only a beginning. I would point out that the Legislative Branch was subjected to a 4.3 percent sequester under the old Gramm-Rudman-Hollings procedure back in fiscal year 1986 and managed to carry on.

Mr. Chairman, I want to commend you on the work you have done. In the past four years, you and my predecessors as ranking minority member of this subcommittee have produced responsible legislation, funding critical requirements and eliminating unnecessary expenditures. Last year you were able to hold all Senate items at or below the previous year's level of funding, and the bill as a whole was reduced \$150,000,000 in outlays, or 6.5 percent, from the previous year.

That is a good record to build on, and I want to join with you in a continued effort to reduce the costs of the Legislative Branch.

STATEMENT OF SENATOR CONRAD BURNS

Mr. Chairman, thank you for beginning these hearings. The President has called for belt tightening in both the Executive Branch and the Legislative Branch of our government. He has promised to reduce the Executive Branch by 100,000 people by 1995 and to cut administrative expenses by 14 percent or about \$500 million by 1997. I support the President in his efforts to reduce the size of government and I believe that we should follow his lead here in the Legislative Branch.

Mr. Chairman, tomorrow on the floor of the Senate we will begin consideration of the budgets of the various Committees that make up the United States Senate. The budget for each of these Committees is over a million dollars in each case and as much as \$5 million in several instances. We need to pare these costs down where we can.

Mr. Chairman, the government is spending roughly \$1 billion more per day than it brings in. Before we ask the American people to pay more in taxes we must reduce federal spending at both ends of Pennsylvania Avenue. That process begins here. Thank you, Mr. Chairman.

INTRODUCTION OF ASSOCIATES

Senator REID. This morning, the subcommittee will be hearing the requests of the Secretary of the Senate, the Sergeant at Arms

and Doorkeeper of the Senate, the Congressional Budget Office, and the Office of Technology Assessment.

We will begin with the Secretary's office, and it is a pleasure to welcome Mr. Walter J. Stewart, or "Joe," as he is known here on Capitol Hill. He is accompanied by Ms. Jeri Thompson, Assistant Secretary of the Senate, and Mr. Stuart Balderson, Financial Clerk of the Senate. Welcome.

BUDGET REQUEST

For fiscal year 1994, the Secretary is proposing a total budget of \$14,061,500 and up to 239 positions. This is an increase of about \$894,000 over the current level. Of this amount, \$12,695,000 is for salaries, and \$1,366,500 is for expenses. And I think this points up our responsibilities of how difficult they are going to be.

We are a very personnel-oriented branch of Government. And as indicated in your budget, and we are not going to do this across the board. I don't believe in across-the-board cuts. I think we have to look at maybe cutting one more than the other. But this goes to show the problems that we have.

We have a total budget of a little over \$14 million that's requested, and over \$12.5 million, approximately, is for salaries, and only \$1.3 million is for expenses.

So it's very, very difficult to cut administrative expenses, as the leadership has told us that we must do. Some 14 percent administrative expenses over the next 4 years is going to be tough.

PREPARED STATEMENT

Mr. Stewart, your full statement will be made part of the record. If you would feel free to highlight that, we will get on to questions. [The statement follows:]

STATEMENT OF WALTER J. STEWART

BUDGET SUMMARY

Mr. Chairman and Members of the Subcommittee, I appear before you today to present my seventh budget request before this Subcommittee. Your consistent support has allowed me to reorganize services, automate many of the legislative and financial responsibilities delegated to me by the Senate, and begin new services as mandated by law and the Senate Leadership. It often is not possible to upgrade functions over just one or even two years. It takes understanding of our mission, and the consistent support this Subcommittee and the Rules Committee have given me over several years, to make cost-effective use of modern tools of efficiency. It also takes funding, which you have provided, and I appreciate your support.

The cost savings we have realized unfortunately are not reflected in my budget, but should be seen in the budgets of others. For example, changing the way we publish the Report of the Secretary of the Senate will save about \$600,000 per Congress in printing costs. When coupled with savings from automating production of portions of the Congressional Record and the engrossing and enrolling of bills and resolutions, in excess of \$1 million in annual savings has been realized.

By upgrading computer systems, we will relieve the Computer Center of expensive and unwieldy maintenance on outdated hardware and software.

To fund the Office of the Secretary for fiscal year 1994, I am reducing my original budget request by 3.1 percent to a new total of \$13,638,500.

To fund salaries for staff of the Office of the Secretary, I am requesting \$12,272,000, which provides funding only for annualizing COLA's. This represents a 3 percent reduction from my original budget request because I am deferring adding any new positions at this time.

To fund non-salary expenses for the Office of the Secretary, I am requesting \$1,366,500, a decrease of 5.92 percent. This decrease is made possible by lower than

anticipated costs in the Office of Captioning Services. The non-salary expenses account enables the Secretary to carry out such statutory and administrative responsibilities as the education of Senate pages pursuant to Public Law 98-51, as amended, S. Res. 184, July 29, 1983, and Public Law 98-125; provision of Senate service awards pursuant to S. Res. 21, September 20, 1965; support services for the Senate Library; planning and presentation of briefings for foreign delegations on official visits to the Senate pursuant to Public Law 100-71; provision of legal reference volumes and other materials for Senators pursuant to Public Law 92-51; to fund operations for captioning services; and for other purposes. A table at the end of this statement provides a detailed summary of my budget request.

STATUS OF OFFICE AUTOMATION

This year, we begin the final phase of the program to automate production of the Congressional Record. With the installation of Xscribe's new DOS-based court reporting system and a Novell LAN in the Official Reporters of Debates' office, reporters are now able to prepare completed transcript at their desks. Transcript can be converted to WordPerfect documents for electronic editing by Senators and staff, and the Official Reporters are able to share files, printers and network services with the captioners in the Office of Captioning Services. Our technological platform is now in place to allow us to transfer significant portions of Congressional Record debate in electronic format to GPO, thus eliminating expensive and time consuming rekeying of these portions of the Record.

GPO installed their Microcomp bill drafting software and printers in the Enrolling Clerk's office, allowing the Enrolling Clerk to engross and enroll legislation in his own office. The paper on which enrolled bills are printed was changed to conform to national archival standards for permanent papers and carrying cases were designed by GPO for transporting enrolled bills between the Senate and the House of Representatives and to the President for signatures. The Enrolling Clerks' computers will be upgraded in 1994 to increase processing and printing speeds.

The functional requirements document for the Senate's first obligation-based financial management system, FMSII, was completed in January. Senate Computer Center staff now will work closely with Disbursing Office staff to prepare the requirements analysis document, the third phase of this project. The Computer Center budgeted nearly \$4 million for the FMSII project in fiscal year 1994 and we look forward to working closely with the Sergeant at Arms, the Rules Committee and the Appropriations Committee as we move forward on this vital project.

The Disbursing Office complied with the Federal Reserve System's directive to adopt new technical standards for improved reliability, security and service for the Automated Clearing House Service (ACH). The ACH is a service used by the Disbursing Office for electronic transfer of funds for direct payroll deposits. As of July 1, 1992, the Federal Reserve required all electronic transmissions to be hardware encrypted and the Senate met this requirement over two months early.

Disbursing Office staff developed a Paradox database and a new LAN-based procedure to produce the Report of the Secretary of the Senate. Data is downloaded from the mainframe financial systems to the LAN where it is edited and formatted. Final page proofs are printed in the Disbursing Office, proofed and sent to GPO for printing.

The Senate's official legislative tracking system, LEGIS, has begun to show its age. For several years the Secretary's legislative staff have requested needed enhancements which have been increasingly difficult for Computer Center staff to complete. The current LEGIS system was originally designed and programmed in the early 1970's and became generally available in 1977. It uses a variety of mainframe programs that have grown unwieldy and insupportable and very expensive for the Computer Center to keep running. Because my office is dependent on these systems for official legislative record keeping, we have begun a project with the Sergeant at Arms to develop a new LEGIS system which will run on the Secretary's LAN. We expect to be able to key data one time and use it several times for production of calendars, the Record and the Journals. This eliminates expensive rekeying for printing purposes. The Sergeant at Arms and I have set an ambitious schedule to deliver a new LAN-based LEGIS for use in the 104th Congress.

After several years of extensive research, the Senate Library staff identified an integrated library system (ILS) to assist in managing the Library's collection. This new system will be installed when the Library moves to its new location in the Dirksen Building and the collection, currently housed in three separate locations, is again united for use by the Senate community. With installation of the ILS, a Novell LAN will be installed along with a CD-ROM network to maximize space efficiency and make use of a growing medium for information storage.

The Stationery Room's Basic IV mini-computer software was modified to allow use of standard commercial Universal Product Code (UPC) barcodes. The proprietary barcodes used by the Stationery Room were initiated over ten years ago and required extensive staff intervention to get merchandise onto the shelves. Using UPC's eliminates over 90 percent of the barcoding task for staff and allows for more rapid services to Senate offices. These modifications were paid for from surcharge receipts.

The Senate Gift Shop opened December 1 in a temporary location in the Dirksen Building. A small Novell LAN connects Gift Shop staff to a partition of the Basic IV system in the Stationery Room. Point of sale software has been installed to collect sales and inventory at the LAN level and upload this data to the Basic IV system for financial management purposes.

During the last quarter of 1992, a FileNet PC-based image system was installed in the Office of Public Records. This system is similar to the FileNet system used by the House of Representatives' Office of Records and Registration. As public reporting requirements increase along with the total number of pages filed, we expect to be able to share workloads with the House, thus eliminating the need for staff increases. The FEC is pursuing a similar system and eventually all three offices should be sharing data electronically.

While our computer services staff is excellent, it is small. None of the projects would be possible without the solid support of the Sergeant at Arms and Rules Committee and the technical staff at the Computer Center and I appreciate their efforts.

LEGISLATIVE DEPARTMENTS

BILL CLERK

The Bill Clerk records actions of the Senate, keeps an authoritative historical record of Senate business, enters daily legislative activities and votes into the automated legislative status system, and assigns numbers to all bills and resolutions.

The Bill Clerks processed 8,479 pieces of legislation in the 102d Congress, 337 more than it did during the 101st Congress. Comparative statistics follow:

	101st Congress	102d Congress
Bills	3,271	3,390
Joint resolutions	388	346
Concurrent resolutions	159	143
Resolutions	358	366
Amendments	3,229	3,442
House bills	548	581
House joint resolutions	112	127
House concurrent resolutions	77	84
Totals	8,142	8,479

Government Printing Office

The number of Star prints authorized by the Bill Clerk declined by 50 percent in 1992 through the joint efforts of the Bill Clerks and GPO's Congressional Desk staff. GPO more closely tracked legislation through the printing cycle and sought clarification on questions from the Bill Clerks before legislation was printed in final form.

DAILY DIGEST

The Daily Digest section of the Congressional Record provides a brief, concise accounting of all official actions taken by the Senate on a particular day. All hearings and business meetings (including joint meetings and conferences) are scheduled through the office of the Senate Daily Digest and are published in the Congressional Record and entered in the LEGIS hearings file. Meeting outcomes are also published by the Daily Digest in the Record each day.

Chamber Activity

The Senate was in session a total of 129 days, for a total of 1,091 hours and 9 minutes. There were 5 quorum calls and 270 record votes.

Committee Activity

Senate committees held 802 hearings and 212 business meetings (total 1,014), contrasted with 934 hearings and 208 business meetings (total 1,142) during the second session of the 101st Congress.

ENROLLING CLERK

The Enrolling Clerk prepares for printing and proofreads all Senate-passed legislation prior to its transmittal to the House of Representatives, the National Archives, the Secretary of State, the United States Claims Court, and the White House.

During 1992, 146 enrolled bills were prepared, printed, proofread, corrected and transmitted to the President. Also, 651 pieces of legislation were enacted or agreed to by the Senate which required processing and printing.

The Enrolling Clerks now have the capability to print all of their work (engrossed bills, enrolled bills, commemorative resolutions, transmittals, and appointments) in their office, which has greatly reduced both turnaround time and printing costs.

EXECUTIVE CLERK

The Executive Clerk prepares an accurate record of actions taken by the Senate during executive sessions (proceedings on nominations and treaties) which is published as the Executive Journal at the end of each session of Congress. This office also prepares the Executive Calendar which is printed daily when any nominations, treaties, or resolutions pertaining to executive business are pending before the Senate.

Nominations

During the second session of the 102d Congress, there were 626 nomination messages sent to the Senate by the President, transmitting 31,077 nominations to positions requiring Senate confirmation and 10 messages withdrawing 12 nominations previously sent to the Senate during the session.

Of the total nominations transmitted, 408 were for civilian positions other than lists in the Foreign Service, Coast Guard, National Oceanic and Atmospheric Administration and Public Health Service. In addition, there were 2,253 nominees in the "civilian list" categories named above. Military nominations received totals 28,416 (6,708 in the Air Force, 11,201 in the Army, 8,001 in the Navy and 2,506 in the Marine Corps).

The Senate confirmed 30,619 nominations. A total of 589 nominations remained unconfirmed at the time of the sine die adjournment of the 102d Congress, and were returned to the President, pursuant to the provisions of paragraph 6 of Senate Rule XXXI after the sine die adjournment.

Treaties

Twenty-one treaties were transmitted by the President during the second session of the Senate for its advice and consent to ratification, and were ordered printed as treaty documents for the use of the Senate (Treaty Docs. 102-21 through 102-41).

During the second session, the Senate gave its advice and consent to 31 treaties—24 treaties without reservation and eight other treaties with various conditions to the resolutions of advice and consent to ratification. One treaty (Montreal Protocols 3 and 4 relating to the Warsaw International Air Carriage Convention) remaining on the Executive Calendar received no final action at the time of the sine die adjournment of the 102d Congress, was automatically rereferred to the Committee on Foreign Relations.

Executive Reports and Roll Call Votes

Thirty-three executive reports—two relating to nominations and 31 to treaties—were ordered printed for the use of the Senate during the second session of the 102d Congress (Executive Repts. 102-23 through 102-55).

During the second session of the 102d Congress, the Senate had nine roll call votes in executive session, six relating to treaties, and three relating to a nomination.

JOURNAL CLERK

The Journal Clerk takes notes of the daily legislative proceedings of the Senate in the "Minute Book" and prepares a history of bills and resolutions for the printed Journal which is in effect the index of legislative action. The Journal is published each calendar year.

In 1992 the text of the legislative Journal was completed on December 10, 1992; the Journal Index was completed on January 3, 1993. The entire Journal was sent to GPO on January 6, 1993 via the Office of Printing Services.

The Journal Index for the 1992 volume was produced for the first time by the Congressional Record Index office at GPO. The Record Index Office also undertook an effort late during the year to develop a satisfactory "History of Bills and Resolutions" section for the Journal, a project still in development.

It is our goal to generate through automation the "Index" and the "History of Bills and Resolutions" sections from the Journal's own annual database to develop the capability so Journal staff can generate camera ready copy for all three sections of the book in their office. This capability will both lighten and shorten the overall workload of the Journal Clerk, and we estimate will save one to four months between initial receipt by GPO of the entire completed Journal and its ultimate publication, binding, and distribution.

LEGISLATIVE CLERK

The Legislative Clerk reads bills, resolutions, conference reports, amendments and other material when directed by the presiding officer, calls the rolls for quorums and recorded (yea and nay) votes, and prepares the Calendar of Business for each daily session of the Senate.

	101st Congress, 2d session	102d Congress, 2d session
Total measures passed	716	651
Total measures reported	509	368
Quorum calls (live)	3	5
Roll call votes	326	270
Days in session	138	129
Hours in session (rounded)	1,251	1,092

OFFICIAL REPORTERS OF DEBATES

The Official Reporters of Debates prepare and edit for publication in the Congressional Record a substantially verbatim report of the proceedings of the Senate, and serve as liaison for all Senate personnel on matters relating to the content of the Record. The Chief Reporter functions as editor in chief of the Senate portion of the Record.

The Official Reporters are in the fifth and final year of automating production of the Congressional Record. The computer assisted transcription (CAT) system was upgraded to a PC-based LAN environment which allows the Reporters to electronically move debate files through the office and ultimately to GPO. With the upgraded CAT system, the Reporters are able to do more of their own transcription work, thus freeing the transcribers to key editorial changes made by Senators and the Chief Reporter. When transcript is sent to GPO via the network, it must be in final, camera ready form, so all editorial corrections must be keyed prior to the transcript leaving the Reporters' office. We intend to eliminate as much rekeying at GPO as possible to increase accuracy and turnaround time and reduce cost.

Items Processed Through Morning Business Section of the Record

Bills	1,254
Joint resolutions	107
Concurrent resolutions	57
Resolutions	125
Communications	1,848
Petitions	254
President's messages	189
Amendments	1,978

The increase in President's messages is due to the enhanced rescission process that was developed as an alternative to the line item veto.

PARLIAMENTARIAN

The Parliamentarian's duties include advising the Chair, Senators and their staff as well as committee staff on all matters requiring an interpretation of the Standing Rules of the Senate, precedents of the Senate, unanimous consent agreements, as

well as provisions of public law affecting the proceedings of the Senate. The office of the Parliamentarian is responsible for the referral of all legislation introduced in the Senate, all legislation received from the House, as well as all communications received from the Executive Branch.

An updated edition of Senate Procedure was published in 1992. This volume contains all Senate precedents through the end of the 101st Congress, as well as changes enacted during the first session of the 102d Congress to several of the standing rules that comprise the Senate's Code of Official Conduct.

OFFICE OF PRINTING SERVICES

The Office of Printing Services is the liaison to GPO for virtually all Senate printing, with the exception of the Congressional Record. Accordingly, Printing Services assists in scheduling and distributing Senate bills and reports for the chamber, provides page counts of Senate hearings to commercial reporting companies, orders and tracks all paper and envelopes provided to the Senate, provides electronic composition and general printing services for various Senate publications and offices, and assures that Senate printing is in compliance with Title 44, U.S.C.

Desktop Publishing

Using desktop publishing, Printing Services staff assisted with the preparation and/or provided layout and design for pamphlets (The Office of the Secretary); newsletters (Senate History); circulars (Captioning Services); books (Senate Procedure); directories (The Senate Class List); charts (Senate Procedure), and a myriad of forms.

This past year composition for the Documentation of Congress and a considerable amount of scanning for inclusion in forthcoming publications was completed. During 1993, composition for Jefferson's Manual; Records Management Handbook for Senators; Guide to Research Collections of Former U.S. Senators; Constitution Annotated; Senators of the United States: A Historical Bibliography; and Senate Election, Expulsion, and Censure Cases is anticipated.

Printing Cost Savings

Printing cost savings resulting from the new format for the Senate Wall Calendar, were approximately \$43,861.

In 1985, when the Secretary's Office began to seriously consider printing an updated version of Senate Procedure, GPO estimated the cost of keyboarding, composing, proofing, and printing to be approximately \$947,000 for 1,500 copies. By providing the job to GPO in electronic form, total cost of printing was approximately \$403,200 for 4,392 copies, thereby saving \$543,800 while getting almost three times the number of books the original estimate provided for.

OFFICE OF CAPTIONING SERVICES

The Office of Captioning Services provides realtime closed captions of Senate floor proceedings for the hearing impaired and captions other video materials for the Senate. Captioning Services completed its first full year of realtime captioning of Senate proceedings. Captioners estimated their accuracy rate at 98 percent.

Post production captioning of Senate training videos and other Senate materials has begun to ensure all Senate staff have access to these materials. Throughout the year, Captioning Services' employees prepared diskettes of videos in WordPerfect format. Once the proper equipment was ordered and installed in the Recording Studio, the captioners prepared the files up to the point of encoding, which the Recording Studio does.

Two experiments were conducted last year: first, captioning of the confirmation hearing of Ms. Shalala, Secretary of Health and Human Services, and second, captioning the Inaugural ceremony using large TV's called JumboTrons.

ADMINISTRATIVE OFFICES

DISBURSING OFFICE

The Disbursing Office compiles Senate budget estimates for presentation to the Committee on Appropriations, maintains and disburses all Senate appropriated funds and all Senate payrolls, interprets and carries out all matters related to budgeting, appropriations, compensation, payroll deductions, retirement, life and health insurance, and other employee benefits authorized for Members and staff.

Employee Benefits Section

As loan rates fell to new lows, records were set by the Employee Benefits staff for processing employment verifications. Last year, an average of 120 per month were processed.

The new United States Capitol Police Mandatory Retirement Law took effect in October, and approximately 60 officers were retired mandatorily by the end of the year. This resulted in having to train not only Senate retirement counselors in the new computations and provisions, but also training Office of Personnel Management retirement adjudicators in the nuances of the new system.

Total retirements from the Senate increased to approximately 130. Included in the 130 retirements was an unusually high rate of 30 extremely difficult death and disability cases.

Last year, staff began a pilot project with the Office of Personnel Management to make the Senate the first agency in the Federal government to process its own retirement cases all the way through the first payment to retirees. This will not only expedite payments to Senate retirees, but will, when completed in early 1993, be used by OPM in advancing this program.

Following the elections, approximately 1,200 employees were changing positions which was reflected not only in the retirement caseload, but also in unemployment cases, appointment processing, benefits counselling, and processing of Ramspeck Act paperwork and forwarding information for employees hired elsewhere in the government.

New procedures were initiated for processing information for persons separating and requesting refunds of Thrift Savings Plan (TSP) monies, as well as for verification of information for the Sergeant at Arms' Worker's Compensation program.

A Federal Employees Health Benefit Health Fair was held again last year, with about 20 health carriers participating and was attended by approximately 800 employees. Two TSP Open Seasons and an FEHB Open Season were held.

Payroll Section

The Payroll Section processed both the cost-of-living increase and all of the open season forms for the Combined Federal Campaign, Thrift Savings Plan, and Federal Employees' Health insurance and noted an increase in new TSP employee deductions and shifting of investment funds.

Staff members received training on the Fedline System at the Federal Reserve Bank of Richmond, Virginia. Once the required computer equipment was installed, staff began transmitting with the May 5, 1992 payday, exceeding the implementation schedule by more than two months.

The Payroll staff used a new method of editing the Report of the Secretary of the Senate whereby files were converted to a WordPerfect file, edited and printed within the Payroll Section.

Voucher Audit Section

Standard expense categories were introduced and implemented for Senators and committees for the Report of the Secretary of the Senate. Initial studies for developing standard expense categories for the Secretary of the Senate and the Sergeant at Arms were initiated with the expectation of using these categories for the Report for October 1992-March 1993.

Our statistical data shows that the number of vouchers received for processing has more than doubled due to the "direct payment" program, yet the time necessary to process/pay vouchers has been significantly reduced.

Financial Management System Development (FMSII)

The Financial Management System Development Project is a three to five year effort to develop and install an integrated financial management system for the Senate. The main design features of the system include online data entry of requisition, purchase, and voucher information at each location in the Senate that generates vouchers, with online review and approval of such transactions; electronic funds transfer; and storage and retrieval of scanned images of supporting documentation for viewing side-by-side with voucher data.

The two person project team examined existing systems and procedures in the Disbursing Office and in other Senate offices with financial management responsibilities and reviewed several commercially available financial management systems, database management systems, and fourth generation languages. We hope to acquire a system that would (1) satisfy the Senate's needs with little or no modification, (2) be tailored to the Senate's requirements with minimal effort, or (3) use state-of-the-art operating systems, database management systems, and computer language tools to support rapid development of a custom system. The results of the

study are set forth in a requirements document completed in January 1993. After receiving comments and recommendations from the Senate Computer Center, an acquisition strategy and detailed development and implementation plan will be prepared.

The project team developed a new system for preparing the semiannual Report of the Secretary of the Senate. The report was previously prepared using a main-frame system. The increase in the number of vouchers resulting from "direct payment to vendors" procedures threatened to substantially increase the size of the Report and to delay processing of vouchers for payment. The Report, which has been two volumes since 1979, would have grown to three volumes. Using the Paradox database system on the Disbursing Office's personal computers, the layout of the detailed voucher listing was changed resulting in a 55 percent increase in printing efficiency. The total number of pages was 1,500, instead of the 3,300 which it would have been using the previous system. This represents a savings of \$300,000 in annual printing costs. In addition, overtime hours and use of staff from other Disbursing Office departments was eliminated.

Standard category descriptions for purchases made by the Sergeant at Arms, the Secretary of the Senate and other offices greatly reduced the amount of ad hoc data entry required to produce the Report. The project team trained staff in the Audit Section of the Disbursing Office to use the data entry system as well as interactive Paradox. Additionally, the project team trained two members of the Audit Section to manage the system for which they have assumed day-to-day responsibility.

The project team directed refinement of a system developed by a temporary employee to print the vouchers prepared by the Office of the Secretary of the Senate and to maintain the balances of accounts. This voucher system is a prototype.

These projects provided valuable insights into the details of Senate financial operations, facilitated development of a prototype chart of accounts, and produced immediate and tangible improvements in the operations of the Office of the Secretary. In addition, these two projects are indications of the potential for making substantial improvements in a short amount of time with readily available, state-of-the-art computer tools.

The team has also begun development of a prototype voucher preparation system for Senators similar to that developed for the Secretary's Office. This prototype would serve Senators' offices for approximately two years and then would be superseded by FMSII.

As part of the review of statutes, rules, regulations, and procedures that can be simplified in conjunction with the implementation of the new system, the project team recommended that the Disbursing Office begin identifying changes that can be made now and, after securing the necessary legislative changes or other approvals, publishing a series of user notices announcing and explaining the changes. The most notable improvement in this regard was a change in the voucher signature requirements, so that payees no longer are required to sign vouchers.

DOCUMENT ROOM

The Senate Document Room provides for the Senate and the public copies of all Senate and House bills and documents and copies of all public laws and Senate and House reports for the past 20 years.

Statistics

In 1992, the Document Room received 144,478 phone requests for availability, status, and ordering of related documents. Document clerks filled 64,543 Senate staff requests for numerous documents which were delivered by messengers to Senate offices. A total of 21,634 mail requests were received and processed in addition to handling approximately 187,790 walk-in customers, including about 6,000 students sponsored by the Close Up Foundation.

Close Up Students

The Senate Document Room will again, in 1993, participate in a program to assist Close Up students from various parts of the country. This program, sponsored by the Close Up Foundation, conducts week-long series of seminars on government and politics for secondary school students, teachers, and senior citizens from communities throughout the country. In the past year, approximately 6,000 Close Up students were assisted by Document Room staff.

SENATE LIBRARY

The Senate Library is a legislative and general reference library which provides both traditional and computerized information services and cataloging, maintains a

comprehensive collection of congressional, governmental and other publications for the use of Senate offices.

The Library's information services were extremely active throughout the year; the work reflected the major events and issues confronting the Senate during 1992. Topics of domestic interest included campaign reform, Constitutional amendments on Congressional pay and on a balanced federal budget, voter registration, abortion, health care, family and medical leave, enterprise zones, unemployment compensation, civil rights and the Presidential and Congressional elections. Topics of foreign interest included most-favored-nation status for China, events in the Middle East, Somalia, and the former Yugoslavia, and aid to Russia and the former Soviet Republics.

The Library's levels of activity increased in several important categories. Reference inquiries, which were up 3 percent, reached record-breaking levels, while LEGIS inquiries were up 14 percent; commercial database searches grew by 12 percent. Acquisition of materials rose 60 percent; cataloging production increased 75 percent overall, including a 50 percent rise in government documents cataloging and a 320 percent rise in committee prints cataloging. Increases were also reported in the number of items delivered by the Library Aide service (13 percent) and by fax machine (29 percent), as well as in photocopying (12 percent). The most astonishing increase was recorded in the number of pages printed by the optical disk system—almost 400 percent.

Reference Service

For the fourth year in a row the reference librarians responded to a record number of requests. In 1992 they handled over 18,600 inquiries for legislative materials, biographical information, background information on a wide variety of topics, computer searches of magazine and newspaper articles, quotations, voting information and statistics.

REFERENCE INQUIRIES, 1983-92

Calendar year	Congress/session	Number of inquiries	Change from previous year (Percent)	Change from same session of previous Congress (Percent)
1983	98/1	12,384	-6	+1
1984	98/2	12,299	-1	-7
1985	99/1	12,165	-1	-8
1986	99/2	12,063	-1	-2
1987	100/1	14,935	+24	+23
1988	100/2	14,889	-0.3	+23
1989	101/1	16,067	+8	+8
1990	101/2	16,255	+1	+9
1991	102/1	18,050	+11	+12
1992	102/2	18,626	+3	+14

LEGIS Service

The LEGIS staff answered almost 73,700 requests from Senate offices for information about the subject matter, sponsorship and status of bills, resolutions and public laws, about Senate action on treaties and nominations, and about scheduling of Senate committee hearings. This total represents a 14 percent increase in activity from the previous year. October was the month of greatest activity in 1992: over 8,800 calls were handled by the staff of four.

LEGIS INQUIRIES, 1983-92

Calendar year	Congress/session	Number of inquiries	Change from previous year (Percent)	Change from same session of previous Congress (Percent)
1983	98/1	84,297	-17	+27
1984	98/2	91,829	+9	+7
1985	99/1	63,095	-31	-25
1986	99/2	69,973	+11	-24

LEGIS INQUIRIES, 1983-92—Continued

Calendar year	Congress/session	Number of inquiries	Change from previous year (Percent)	Change from same session of previous Congress (Percent)
1987	100/1	73,236	+ 5	+ 16
1988	100/2	87,675	+ 20	+ 25
1989	101/1	67,045	- 24	- 8
1990	101/2	64,779	- 3	- 26
1991	102/1	64,365	- 1	- 4
1992	102/2	73,688	+ 14	+ 14

Library Relocation

On January 21, 1991, the Rules Committee authorized 19,100 square feet of space in the Dirksen Office Building for use as a new Library facility. A number of activities were undertaken to develop data and specifications to assist a space planning consultant in the development of a renovation program. Members of the Library staff developed detailed descriptions for the Library's requirements after visiting seven special libraries in the Washington area.

Close cooperation with the Architect of the Capitol is expected to ensure completion of the new Library facility by the close of fiscal year 1994.

Publications

Revision of Presidential Vetoes, 1789-1988, was published in February and a supplement to this publication which covered the first three years of the Bush Administration; Presidential Vetoes, 1989-1991 was published in June. An updated edition of the Senate Library Resources Directory was published in December.

OFFICE OF CONSERVATION AND PRESERVATION

The Office of Conservation and Preservation develops and coordinates programs directly related to the conservation and preservation of Senate records and materials for which the Secretary of the Senate has statutory authority. Initiatives include mass deacidification, phased conservation for books and documents, collection surveys, and contingency planning for disaster response and recovery.

Senate Collection

The two year condition survey of the Library's collection in the attic of the Capitol was temporarily suspended; efforts were focused on those volumes which the survey identified as being in immediate need of treatment. During the two year period, we surveyed approximately 29,000 volumes which included House and Senate committee hearings, Interstate Commerce Committee Reports, United States Court of Claims, Federal Register, United States Reports, and the Congressional Serial Set. Many of these volumes need attention before they can be safely moved to the new Library.

Work has begun on the approximately 7,000 volume collection of House hearings. An electronic "Brittle Book" file was established to trace and/or note brittle titles for future reference. A group of House committee hearings, which had been water damaged some time in the past, were cleaned and repaired.

Disaster Preparedness and Recovery

A simplified but comprehensive resource directory, which is in easy to access loose-leaf form, was completed and provides ready access to experts should their specialized services be required.

Disaster recovery supplies, some of which are kept in close proximity to our office and the remainder stored in the Senate Alexandria warehouse, were procured. The supplies include freezer paper, cartons, cleaning sponges, plastic sheeting, blotting paper, and plastic bakery trays.

Mass Deacidification

In August the Library of Congress, to encourage and facilitate the development of mass deacidification technology, announced that it will provide testing and evaluation opportunities as well as technical information to interested parties who wish to submit their deacidification technology for Library evaluation. The Library will enter into cost sharing arrangements with parties submitting their technology. For each party interested in participating in this three-step two year program, the Li-

brary will evaluate book deacidification technology and provide an assessment of progress toward meeting the Library's deacidification requirements as contained in its Request for Proposal (RFP90-21) dated September 13, 1990. We closely monitor the Library of Congress's progress in mass deacidification technology because of our pressing need to deacidify many volumes in the Library collection.

Conservation Consultation

For the past two years this office undertook a condition survey of the Senate Library collection to identify materials requiring attention. This past year, a conservation specialist visited and provided consultation recommendations for a more comprehensive long-term preservation plan for the Library's collection and other Senate materials, including Senate Precedents and bound Senate Journals, and the bound hearings of the Appropriations Subcommittee on Commerce, Justice, State and Judiciary.

Project Summary

Volumes bound and/or repaired for Senate Library	949
Volumes processed for Senate Library	1,614
Volumes bound and/or repaired for others	254
Leather volumes cleaned and oiled	25
Miscellaneous lettering projects	772
Stationery Room lettering	72
Protective cases fabricated	47
Senators' ID cases lettered and embossed	27
Graphic material matted and framed	270
Graphic material repaired	68
Documents spray deacidified	392
Documents mylar encapsulated	1,284
Presentation items	36

OFFICE OF SENATE SECURITY

The Office of Senate Security was established, under the Secretary of the Senate, by Senate Resolution 243 (100th Congress, First Session). The office is responsible for the administration of classified information, personnel, communications and computer security programs in Senate offices and committees. In addition, it serves as the Senate's liaison to the Executive Branch in matters relating to the security of classified information in the Senate.

Statistics

A total of 3,615 classified documents provided by 29 different sending organizations were processed through Senate Security's automated document control system. Four hundred ninety-five classified documents no longer required for the conduct of official Senate business were destroyed per directives. Secure storage of classified material in the vault was provided for 107 Senators, committees and support offices. Nearly 100 Senate employees received "periodic reinvestigations" to update security clearances granted five or more years ago. Thirty-four additional reinvestigations were initiated. Thirty-two security briefings were conducted for Senate staff. The Security Awareness Program was expanded to provide more options in the briefings available to Senate staff. A total of 300 hearings/meetings/briefings were conducted in Senate Security's two conference rooms.

An updated Senate Security Manual will be issued in 1993.

SENATE STATIONERY ROOM

The Stationery Room provides stationery and other office supplies for Senators, committees, and other offices of the Senate.

Uniform Product Code (UPC)

The first phase of the Uniform Product Code (UPC) project was implemented on October 1, 1991. The objective of this phase was to minimize the number of items requiring manual labeling by Stationery Room staff and to provide a means to sell and track merchandise more efficiently while increasing staff productivity.

The Stationery Room implemented a new vouchering system to conform to Senate direct payments requirements. This project required reversing the process of generating one voucher with many invoices to a process of generating a single voucher for each invoice. We are evaluating this process as the planning and design phase of FMSII progresses. It should be noted in prior fiscal years the number of vouchers

generated averaged 1,600 per year. However, with the new requirements, the total number of vouchers increased by 5,330 over fiscal year 1991.

The General Accounting Office assisted with a systems security review covering the operating system, systems security standards, user profiles and priorities, system passwords and system access both internally and externally. The purpose of this review was to ensure system and data integrity. The Stationery Room staff received high marks.

The General Accounting Office also was on site from April 1992 to September 1992 to conduct an oversight review of the Stationery Room operations and practices. This involved becoming familiar with all phases of the operation by conducting in-depth interviews with each staff member to see how their individual responsibilities were being met. Several recommendations were made and acted on.

Metro Farecards

The Stationery Room began selling Metro farecards and tokens on August 1, 1992 as the Senate implemented federal legislation which provides financial incentives for federal employees to use mass transit.

Merchandise Inventory

The Stationery Room integrated portable data collectors with the Basic IV mini-computer for automated physical inventory counting and reporting. Our goal was to increase the accuracy of physically taking an inventory of all merchandise while minimizing the man-hours required for this process. Results from the initial test inventory were very positive.

The Stationery Room initiated a program of mini-inventories utilizing the data collectors. It was determined from the test inventory that spot checks of the inventory based on an item, group of items or by product code would be useful. This program was designed to accomplish this result on very short notice in a short time span without requiring the resources for a full inventory.

The Stationery Room conducted its final inventory of merchandise for fiscal year 1992 on October 1-2, 1992. Again, the General Accounting Office was on hand to observe the process and, again, the inventory was satisfactorily completed.

SENATE GIFT SHOP

The Senate Gift Shop was established by Public Law 102-392 on October 6, 1992. The purpose of the Senate Gift Shop is to provide the opportunity for Senators, their families, Senate staff, visiting constituents and the general public to purchase United States Senate memorabilia and gift items.

The Senate Gift Shop is selling merchandise at a profit to produce revenue to support its operational costs.

The permanent location of the Senate Gift Shop will be in SR-180 of the Russell Building, which is now being renovated and should be ready for use in the spring of 1993.

The Senate Gift Shop opened in a temporary location on December 3, 1992 in SDG-42 of the Dirksen Building. This temporary location was established with a limited number of gift items to meet the needs of the winter holiday buying season.

OFFICE OF INTERPARLIAMENTARY SERVICES

The Office of Interparliamentary Services (IPS) is responsible for administrative, financial, and protocol functions for all interparliamentary conferences in which the Senate participates by statute, for interparliamentary conferences in which the Senate participates on an ad hoc basis, and for special delegations authorized by the Majority and/or Republican Leader. The office also provides appropriate assistance as requested to other Senate delegations.

As in previous years, all foreign travel authorized by the Leadership was administratively supported by the IPS staff. In addition to delegation trips, IPS provided assistance to 16 individual foreign trips. IPS receives and prepares for printing the quarterly financial reports for foreign travel from all committees in the Senate. The staff prepare these reports for the Majority Leader, the Republican Leader, and the President Pro Tempore. Required records of expenditures on behalf of foreign visitors pursuant to Section 2 of H.R. 1827-33 are maintained in the office.

FOREIGN DELEGATION VISITS TO THE SENATE

On behalf of the Leadership, arrangements were made for the reception in the Senate of 57 heads of State or heads of government, presidents of international organizations and foundations, and parliamentary delegations. A complete list of foreign visitors to the Senate during the past year is attached.

Foreign delegations visiting the Senate—Calendar year 1992

<i>Group</i>	<i>Date of visit</i>
British Interparliamentary Union Group	January 12–13.
Central and Eastern European Internship Program	January 22.
Congo Parliament	January 27.
North Atlantic Assembly	January 30.
Canadian House of Commons	February 4.
Kenyan Parliament	February 19.
CRS Parliamentary Institute (Poland, Hungary, Czechoslovakia, Bulgaria)	February 26.
CRS Parliamentary Institute	March 3.
Russian Parliament	March 11.
Georgia, Estonia, Latvia and Lithuania	March 12.
Minister of Defense, Israel	March 17.
Rwanda Parliament	March 18.
Australian Parliament	March 19.
Austrian Parliament	March 19.
Polish Parliament	March 20.
CRS Parliamentary Institute (Poland, Hungary Czechoslovakia, Bulgaria)	April 3.
USIA Grassroots Democracy Project	April 9.
First Deputy Chairman of Russia	April 28.
President of the Federal Republic of Germany	April 30.
Norway Parliament and Cabinet	May 5.
Asia Foundation (from all over Asia)	May 6.
British Parliamentary Union Group	May 6.
Asia Foundation (Malaysian Parliament)	May 12.
Kyrgyzstan Parliament	May 14.
President of former Soviet Union and President	May 14.
President of the Republic of Kazakhstan	May 19.
Prime Minister of Canada	May 21.
French Parliament	May 28.
Kazakhstan Parliament	May 28.
CRS Parliamentary Institute	May 29.
Russian Parliament	May 29.
Russian staff delegation	May 29.
Mexican Senate	May 29.
Bulgarian National Assembly	June 5.
Prime Minister of the Kingdom of Norway	June 5.
Russian Parliament	June 9.
Armenian Presidential delegation	June 11.
Polish Senat and Sejm (Library and Research Center)	June 15.
Senior Staff Members, European Parliament of European Com- munity	June 16.
President of the Russian Federation	June 17.
European Parliament	June 24.
Brazilian Parliament	July 21.
Latvian Parliament	July 27.
CRS Parliamentary Institute	July 29–30.
Panamanian Parliament	July 31.
Bulgarian Parliament	August 25.
Parliament of Norway, staff delegation	September 2–3.
Yemen Parliament	September 15.
Australian Parliament	September 24.
New South Wales Parliament (officer)	October 13.
Polish Senat and Sejm	November 6.
Government Affairs Institute	November 18.
British-American Parliamentary Group	December 2.
Asia Foundation (Pakistan)	December 7.
Polish Parliament	December 9.

OFFICE OF PUBLIC RECORDS

The Office of Public Records receives, processes, and maintains records, reports, and other documents filed with the Secretary of the Senate involving the Federal Election Campaign Act, as amended; the Federal Regulation of Lobbying Act; the Senate Code of Official Conduct; Rule 34, Public Financial Disclosure; Rule 40, Registration of Mass Mailing; Rule 41, Political Fund Designees; and Rule 41(6), Super-

visor's Reports on Individuals Performing Senate Services; Foreign Travel Reports; and Byrd Amendment Reports.

The office provides for the inspection, review, and reproduction of these documents. From October 1991 through September 1992, Public Records staff assisted more than 2,500 individuals seeking information from reports filed with the office. This figure does not include assistance provided by telephone, nor help given to lobbyists attempting to comply with the provisions of the Federal Regulation of Lobbying Act. A total of 156,885 photocopies were sold in the period. In addition, the office works closely with the Federal Election Commission and the Select Committee on Ethics concerning the filing requirements of the aforementioned act and Senate rules.

Byrd Amendment

Public Law 101-121 requires Federal agencies to compile information with respect to the use of unappropriated funds to influence certain Federal contracting and financial transactions, and forward this information to the Public Records Office semiannually on May 31 and November 30.

The filings under the Byrd Amendment generated submissions from 34 Federal agencies totalling 182 reports with 489 pages. The next reports are due by May 31, 1993.

Federal Election Campaign Act, as Amended

The Act requires Senate candidates who sought election in 1992 to file quarterly, pre-election and post-election reports. Senate candidates running for office in a year other than 1992 are required to file semiannual reports. Filings totaled 4,697 documents containing 134,307 pages.

Federal Regulation of Lobbying Act

Of the 40,521 lobbyists registered under the Act, 7,529 lobbyists are currently active and reporting to the office on a quarterly basis. From October 1991 through September 1992, 32,596 reports totaling 111,896 pages were filed, processed and made available to the public.

Public Financial Disclosure

The filing date for Public Financial Disclosure Reports was May 15, 1992. The reports were available to the public and press by Friday, June 12. Copies were provided to the Select Committee on Ethics and appropriate State officials. A total of 3,463 reports and amendments were filed containing 24,460 pages. There were 540 requests to review or receive copies of the documents.

Registration of Mass Mailing

Senators are required to file mass mailings on a quarterly basis. The number of pages filed were 3,158.

SPECIAL DEPUTY, FEDERAL ELECTION COMMISSION

The Secretary of the Senate, as an ex-officio commissioner of the Federal Election Commission, is represented by the Special Deputy in all Federal Election Commission activities. The responsibilities of the Special Deputy include participation in the open and executive sessions of the Commission.

Meetings

The Commission conducts most of its activities through regularly scheduled meetings, both in executive and open sessions. Executive sessions focus mainly on resolving compliance matters, reviewing audits and dealing with the internal workings of the Commission, such as personnel matters. In calendar year 1992, the Commission held 38 executive sessions and two special executive sessions.

During 1992, the Commission opened 260 enforcement actions and closed 123 enforcement actions. The Commission was involved in 66 court cases, 41 of which were initiated by the FEC and 25 cases which were filed against the FEC.

Other matters, such as promulgating and revising regulations and issuing advisory opinions, are conducted in open session. The Commission held 33 open meetings in calendar year 1992. Additionally, the Commission held one special open session and conducted five public hearings in calendar year 1992. The Commission issued 39 advisory opinions in calendar year 1992.

Matching Funds

Eleven candidates qualified for Federal matching funds in the 1992 presidential election. Eight candidates were certified eligible in 1991 and three in 1992. The total amount certified was \$42,208,155.45.

Additionally, President Bush and Governor Clinton each were certified \$55,240,000 for their general election campaigns, and the 1992 Democratic National Convention Committee, Inc., and the Committee on Arrangements for the Republican National Convention each were certified \$10,600,000 in 1991. In 1992, an adjusting payment of \$448,000 was certified to each—based on the 1991 Consumer Price Index—bringing the total amount certified to each to \$11,048,000.

Congressional Oversight

The Commission made two formal appearances before committees of the Congress in calendar year 1992. These included the House Administration Subcommittee on Elections and the House Appropriations Subcommittee on Treasury, Postal Service and General Government. Neither the Senate Appropriations Subcommittee on Treasury, Postal Service and General Government nor the Senate Committee on Rules and Administration held hearings for the Federal Election Commission for fiscal year 1993.

Regulations

In calendar year 1992, the Commission promulgated five regulations, including rules covering bank loans and ex parte communications. Regulations pertaining to honoraria were repealed as of January 15, 1992. The Commission decided on December 10, 1992, not to approve proposed rules dealing with Transfers Between Federal Campaigns and to terminate this rulemaking.

Seminars

The Commission conducted four seminars in calendar year 1992. These included a Conference for Nonconnected Political Action Committees; a Conference for Corporations, Labor Organizations and Trade Associations; and two Regional Conferences for Candidate and Party Committees and Separate Segregated Funds.

Audits

During calendar year 1992, the Commission released seven audits of non-presidential candidate committees and two audits of 1988 presidential candidate committees. Sixteen non-presidential candidate committees are still being audited and audits are on-going for 17 presidential candidate committees.

Civil Penalties

The Commission assessed \$242,178 in civil penalties in enforcement cases during fiscal year 1992.

SENATE HISTORICAL OFFICE

The Senate Historical Office collects and provides information on important events, dates, statistics, precedents, and historical comparisons of current and past activities of the Senate.

Senator Robert C. Byrd's History of the Senate, Volumes Three and Four

During 1992, staff completed work on the substance of Historical Statistics, the fourth and final volume of Senator Robert C. Byrd's history of the Senate. This volume consists of more than 100 tables arranged topically and is current through the end of the 102d Congress in January 1993. Typesetting is nearly completed, and the volume will be published in 1993.

For Volume Three, Outstanding Senate Oratory, the Historical Office identified several dozen notable Senate speeches and entered them into a publications database to facilitate Senator Byrd's research.

Minutes of the Democratic Party Conference, 1903–1962

The office is arranging and annotating the minutes of the Senate Democratic Conference covering the years 1903 to 1962. Publication of the annotated edition is expected late in 1993.

Executive Sessions of the Senate Foreign Relations Committee, "Historical Series"

Declassification of Volume 18 of the "Historical Series," covering events in 1966, has been completed and the volume is awaiting publication by the Government Printing Office. Volume 17, which includes committee hearings held during 1965, was reprinted to meet demand among scholars of United States history and foreign relations. Selection and editing is underway for the transcripts that will comprise Volume 19 (1967).

The Journals of Montgomery Meigs, 1853–1859

Montgomery Meigs (1816–1892), a captain in the U.S. Army Corps of Engineers, supervised construction of the Capitol's Senate and House wings, and dome, from

1853 to 1859. During this period, he kept shorthand journals containing information about the Capitol, and Washington political and social life. This information had been inaccessible to scholars and the general public until the Senate retained the services of a retired Senate reporter of debates to translate the arcane shorthand of these journals. By the end of 1992, he had translated the journals through March 1856, producing 1,142 double-spaced typed pages.

Thomas Jefferson's Manual of Parliamentary Practice

While Thomas Jefferson served as Senate president, from 1797 to 1801, he compiled a manual of parliamentary procedures, drawing from the practices of the British House of Commons, the Continental Congress, and the contemporary Senate. His manual was designed to provide a consistent body of precedent for Senate presiding officers called on to decide disputed procedural matters. Jefferson's manual was first published in 1801 and, through numerous revised editions, it has guided Senate proceedings ever since. In 1992 Congress provided (S. Con. Res. 112) for publication of the original 1801 version, under the editorial direction of the Historical Office, to coincide with the April 1993 celebration of the 250th anniversary of Jefferson's birth.

Bibliography of Works By and About Former Senators

The research, data entry, and initial editing were completed this year for a major book-length bibliography of works by and about more than 1,100 former Senators with anticipated publication as a Senate document in 1993. The Historical Office has assembled a file for each Senator in the bibliography, thus enhancing the office's capability to respond to research inquiries from Senate offices, independent scholars, and the general public.

Guide to Former Senators' Research Collections

Intensive work on a revised edition of the Guide to Research Collections for Former United States Senators began in mid-1992. A search of the Research Libraries' Information Network (RLIN) database has produced many additional citations for the volume, which will be published in 1993.

Congressional Documentation Project

The Historical Office published The Documentation of Congress (S. Pub. 102-20) in cooperation with the Society of American Archivists' Congressional Archivists Roundtable. This 177-page volume surveys the complex sources of records about Congress and recommends improvements in their preservation and accessibility. In preparing the report, a team of professional archivists from institutions throughout the United States brought their individual perspectives and specialized knowledge to bear on some of the most challenging problems associated with preserving Congressional records.

Records Management Handbook

The Senate archivist prepared the Records Management Handbook for United States Senators and Their Archival Repositories (S. Pub. 102-17), an updated and expanded edition of a work originally created in 1985. Copies were distributed to all Senators' offices to provide guidance with records storage and disposition matters.

Biographical Directory of the United States Congress, 1774-1993

The Biographical Directory was first published in 1859. In 1989, with the publication of the fifteenth edition, the House and Senate historical offices assumed responsibility for maintenance of this large and complex database, which includes biographical profiles of the more than 12,000 former and current members of Congress, including 1,800 Senators. Senate citations have been updated and corrected through the end of the 102d Congress. The next decennial edition is scheduled for publication in 1999.

Photographic Archives

The Historical Office maintains a collection of approximately 30,000 still pictures that includes photographs and illustrations of most of the 1,800 persons who have served in the Senate, as well as news photographs, editorial cartoons, and committee sessions. During 1992 nearly one-quarter of the negatives for this collection were entered into an automated database.

Oral History Project

During 1992 the Senate Oral History Project conducted interviews with Roy L. McGhee (Superintendent of the Senate Periodical Press Gallery, 1973-1991); Scott I. Peek (administrative assistant to former Senator George Smathers, 1952-1963);

Dorothy G. Scott (administrative assistant to the Secretary for the Majority and to the Secretary of the Senate, 1945–1977); Rein Vander Zee (assistant to the Senate Democratic Whip and Assistant Secretary for the Majority, 1961–1964); and Jerry T. Verkler (staff director of the Senate Interior and Insular Affairs Committee, 1963–1974). These interviews have been transcribed and, with the exception of Roy McGhee's, opened for research.

Summer Institute for Secondary School Teachers

The office assisted in the development and presentation of two week-long summer institutes for teachers on the history and operations of Congress. The first was conducted in Austin, Texas, at the Lyndon B. Johnson Library; the second, under the direction of the Everett Dirksen Congressional Center, was held at Bradley University in Peoria, Illinois. These seminars continued a three-year pilot program to test the feasibility of similar institutes on a nationwide basis.

Records Management Assistance

Archival services provided to members during 1992 included records management assistance, guidance on the disposition of electronic records, the use of micrographics, selection of home-state archival repositories, and identification of committee records to be copied for possible inclusion with a member's collection. Basic archival services provided to Senate committees and subcommittees included identification of permanent records, staff briefings, records surveys, assistance with the preservation of information on computer systems, and preparation of records for transfer to the National Archives.

An inventory was compiled of the holdings of the Office of the Secretary transferred to the National Archives prior to 1982. The listing, beginning with records of the 1789 Senate, facilitates access to items of particular significance to the Senate's institutional history.

Advisory Committee on the Records of Congress

Under Public Law 101–509 (1990), Congress expanded the resources available to the National Archives' Center for Legislative Archives and created the permanent Advisory Committee on the Records of Congress. The Advisory Committee, under the Chairmanship of the Secretary of the Senate, met in June and December 1992. A First Report, December 31, 1991, published with assistance from the Historical Office, outlines long-range plans for the care of legislative records and highlights topics in the area of collections development.

Senate Election, Expulsion, and Censure Cases

In 1885 the Senate published a compilation of election cases since 1793 involving disputes over Senate seats. That volume was revised in 1903, 1913, 1940, 1962, and 1972 and was expanded to include expulsion and censure cases. The Historical Office is updating this reference work and has rewritten each of the more than 170 cases described in the 1973 edition to include information on the historical context of the individual disputes. This project should be completed late in 1993.

The Documentary History of the United States Senate

Research has started on the first volume of a projected multi-volume Documentary History of the United States Senate. This volume will focus on the Senate's role in the impeachment process. An introductory chapter will describe English and state constitutional antecedents of the impeachment process set forth in Article I, section 3 of the U.S. Constitution. Subsequent chapters will treat each of the 15 impeachments tried by the Senate from 1798 to the present.

The research effort to date has focused on the impeachment trial of former Tennessee Senator William Blount in the winter of 1798–1799. The office has identified and transcribed Senate records, contemporary press accounts, and private correspondence of members of the Legislative and Executive Branches that illuminate the issues and procedures of this first impeachment proceeding.

OFFICE OF THE SENATE CURATOR

The Office of Senate Curator, under the direction of the Senate Commission on Art, administers the museum programs of the Senate for the Capitol and Senate office buildings. The Curator and staff suggest acquisitions, provide appropriate exhibits, engage in research, and write and edit publications. In addition, the office studies, identifies, arranges, protects, preserves and records the historical collections of the Senate, including paintings, sculpture and furnishings, and exercises supervisory responsibility for those chambers in the Capitol under the jurisdiction of the Commission on Art.

Exhibitions and Publications

In April 1992, a newly-researched exhibit panel interpreting the historiography of the Senate's painting "Recall of Columbus" by Augustus Heaton (1882) was installed at the site of the picture on the Third Floor Landing of the East Stairway. Historic photographs and an original issue 1893 Columbus U.S. commemorative stamp are displayed along with explanatory text. A Spanish translation of the label text was produced and its availability noted in Spanish on the panel.

In June, an interpretive exhibit on the subject of Washington, D.C. and U.S. Capitol tourism, entitled "Postmarked Washington, D.C.," was mounted in the Capitol Crypt.

An exhibit on nineteenth-century cartoonist Thomas Nast and the U.S. Senate, entitled "Between the Eyes," was mounted in the connecting corridor. An accompanying 52-page publication about Nast and the Senate has been prepared by this office; publication is scheduled for February 1993.

Acquisitions to the Collection

During 1992 a range of historic and artistic objects was acquired for the U.S. Senate collection. Over 2,200 original pen and ink political cartoons from the pens of Clifford and Jim Berryman, longtime Washington, D.C. cartoonists, were donated to the Senate. The bulk of the collection will be housed at the Center for Legislative Archives at the National Archives.

A circa 1830 double-armed Argand lamp having association with the James Fenimore Cooper family was received as a gift. The lighting fixture will be incorporated into the furnishings of the Old Supreme Court Chamber, a site often frequented by Cooper when he visited Washington.

A silver calling card case, circa 1845 and bearing a relief image of the Bulfinch-dome Capitol, was acquired and a group of 20 historic picture post cards with views of the U.S. Capitol was donated to the Senate.

Twenty-four graphic prints relating to the subject of the U.S. Senate, largely wood engravings derived from news weeklies of the nineteenth century, were accessioned into the collection. Many are the work of Thomas Nast; these bring close to completion our assemblage of Nast's work on Senate themes.

Loans to and from the Collection

The famed Rembrandt Peale "porthole" portrait of George Washington, which normally surmounts the Reporters' Gallery of the Old Senate Chamber, was placed on 4-month loan to the National Portrait Gallery of the Smithsonian Institution where it serves as the centerpiece of a special exhibition on the life's work of that artist.

An original Supreme Court justice's desk, thought to have been made in the early nineteenth century by Alexandria, Virginia cabinetmaker James Green, was loaned to the Daughters of the American Revolution Museum for a period of nine months for inclusion in the exhibition, "Magnificent Intentions," concerning decorative arts in the early Republic.

Two portraits of former president Harry S. Truman, long on loan to the Senate from the Truman Library in Independence, Missouri, were returned to that collection, pursuant to exhibition revisions at that institution. One Truman portrait was received on loan from the National Portrait Gallery.

Restoration of Objects in the Collection

Three major collection objects were restored during 1992: Charles Willson Peale's standing portrait, "George Washington at the Battle of Princeton," and the pair of marble portrait busts of Chippewa (Ojibwa) Indian chiefs—"Be-She-Kee" (Buffalo) and "Aysh-Ke-Bah-Ke-Ko-Zhay" (Flatmouth). The painting was rehung in the East Stairwell in October. The marble busts will be replaced in the Third Floor elevator lobby during early 1993.

Conservation work on several pieces of historic furniture in the Old Senate and Old Supreme Court chamber was completed during the year.

The Old Senate Chamber and The Old Supreme Court Chamber

Progress was made in increasing the accessibility of the restored historic chambers of the Senate, pursuant to the provisions of Public Law 101-336, the Americans with Disabilities Act. Special tours of the rooms for the visually impaired are now available. Blind visitors are now encouraged to touch selected historic furnishings and a special group of small "touchables" has been gathered for regular educational use. In addition, low-vision visitors may utilize albums of photographic details with large-type text. With the assistance of the Senate Service Department, braille and large-print publications on the histories of the two restored chambers will be in service by May of 1993.

Areas of the room have been set aside in each restored chamber where interpretive signing is provided for the hearing impaired. Total access for wheelchairs is available in the public area of the Old Supreme Court. The Old Senate Chamber is wheelchair accessible in the entry of the main level and by special request on level two. Pending before the Architect of the Capitol is a recommendation for the installation of a ramp in the Old Senate Chamber. Staff of the Office of the Curator have participated in symposia and workshops related to educational programming for the disabled visitor.

SEMINARS AND ORIENTATION

The Senate Seminar Program, under the joint direction of the Secretary of the Senate and the Sergeant at Arms, conducts educational and orientation programs for new members and staff. The seminars focus on the legislative, service, management and information needs of the Senate.

During 1992, the Seminar Program presented 125 seminars involving 45 diverse subjects. This represents a 17 percent increase in total programs offered from 1991, when the Seminar Program offered 107 seminars, and an 80 percent increase from 1990 when the Program sponsored 70 seminars. The total attendance for 1992 was 5,676 participants, an increase of 19.5 percent from the 1991 attendance of 4,752, and a 92 percent increase from 1990 when 2,976 attended seminars.

Fifteen new programs were introduced in 1992. The additions include How to Supervise People, Dynamic Delegation, Ethics for Interns, New Expense Guidelines, Stress Management Series (eight different programs), and Closed Captioning Open House.

During election years, the offices coordinate orientation programs for newly elected Senators which introduce members and their spouses and staff to the institution and its services. On November 9 and 10, the Office of the Secretary coordinated Orientation for 11 newly-elected members of the Senate, their spouses and staff. Three more newly-elected or appointed Senators brought the total of new members to 14 by the start of the 103d Congress. On December 3, the Office of the Sergeant at Arms held an orientation that showcased the services provided by that office.

OFFICE OF THE SECRETARY OF THE SENATE

	Fiscal year 1993 appropriation	Fiscal year 1994 budget request	Increase/ decrease
Salaries, Office of the Secretary:			
Total obligations for fiscal year 1993	\$11,715,000
Fiscal year 1994 request	\$12,272,000
Financing: Less unobligated balance, start of period
Appropriation	11,715,000	12,272,000	+ \$557,000
Expenses, Office of the Secretary:			
Historical Office:			
Books and documents	2,500	2,500
Photographic supplies	7,000	7,000
Library:			
Online information services	51,000	56,000	+ 5,000
Microform publications	36,000	36,000
Books	12,000	17,000	+ 5,000
Subscriptions	20,000	23,000	+ 3,000
Standing orders	17,000	22,000	+ 5,000
CD-Rom	3,000	4,000	+ 1,000
Audio/visual materials	500	500
Office of Conservation and Preservation	2,000	3,000	+ 1,000
Book preservation	5,000	+ 5,000
Office of Public Records (Public Law 92-342)	12,000	12,000
Travel and registration fees (Public Law 94-59) ...	19,000	22,000	+ 3,000
Substitute reporters and transcribers (Public Law 89-90)	10,000	10,000
Consultants (not more than two) (Public Law 95-26)	100,000	50,000	- 50,000

OFFICE OF THE SECRETARY OF THE SENATE—Continued

	Fiscal year 1993 appropriation	Fiscal year 1994 budget request	Increase/ decrease
Legal reference volumes and dictionaries (Senators' offices) (Public Law 92-51)	70,000	80,000	+ 10,000
Contractual legal and administrative services and miscellaneous expenses	65,000	75,000	+ 10,000
Disbursing Office: Payroll forms, notary fees and supplies, insurance	29,000	29,000
Orientation and training (Public Law 95-94)	10,000	10,000
Newspapers	40,000	45,000	+ 5,000
Senate service awards (Senate Resolution 21, September 20, 1965)	18,000	23,000	+ 5,000
Postage	1,000	2,000	+ 1,000
Education of Senate pages (Public Law 98-51, as amended and Senate Resolution 184, July 29, 1983 and Public Law 98-125)	299,500	299,500
Stationery	45,000	50,000	+ 5,000
Senate Commission on Art (Public Law 100-696, November 18, 1988)	33,000	33,000
Representation expenses (Public Law 100-71, July 11, 1987)	50,000	50,000
Office of Captioning Services (Public Law 101-163, November 21, 1989)	500,000	400,000	- 100,000
Total obligations	1,452,500	1,366,500	- 86,000
Financing: Less unobligated balance, start of period
Appropriation	1,452,500	1,366,500	- 86,000
Summary of appropriations requested:			
Salaries (salaries, officers, and employees)	11,715,000	12,272,000	+ 557,000
Expenses	1,452,500	1,366,500	- 86,000
Total obligations	13,167,500	13,638,500	+ 471,000
Total financing: Less unobligated balance, start of period
Total appropriation	13,167,500	13,638,500	+ 471,000

SUMMARY STATEMENT

Mr. STEWART. I will make a short opening statement, Mr. Chairman, and then make myself available for questions.

To fund the Office of the Secretary, I'm amending and reducing my original budget request by 3.1 percent. I'm requesting a total of \$13,638,500. I'm also requesting a 5.9-percent decrease in the expense portion of my budget because certain operating costs of the Secretary can be reduced without disrupting services. This is the second year that I have requested a decrease in the expense portion of this budget.

The committee support through the years has allowed me to reorganize for better and more cost-effective delivery of services, to automate many of the financial and legislative responsibilities entrusted to the office, and to begin new services mandated by the Senate or by law.

The mission of the Office of the Secretary is diverse, and we are pleased we have been able to use modern tools to improve performance without adding staff during the last 3 years. The fiscal 1994 budget I'm requesting today also holds the line on staffing.

AUTOMATION PROJECTS

Cost savings resulting from many of the automation projects undertaken by my office are rarely reflected in my own budget, but they should be reflected in the budgets of others. For example, we now print the Secretary of the Senate's report in a different fashion, saving \$300,000 annually. This was effectuated last year, using different software, a different format, and more standardized categories of expenses. In addition, of course, it takes a lot less time to prepare for printing.

When we complete the fifth and final phase of automating the Congressional Record, we will be sending transcripts of the Chamber's proceedings over the network directly to GPO, which they can directly put into page proofs.

At the present time, the morning business section of the Record has been sent to GPO over the network for the past 2 years. The Daily Digest section has been sent to GPO in electronic format over the past 3 years. We also send rollcall votes over the network for inclusion in the Record.

When we send these various portions of the Record to the GPO in electronic format, the expensive process of rekeying this data by GPO personnel is eliminated and should produce significant savings.

In the past year, the enrolling clerks began preparing final copy for all engrossed and enrolled legislation, which gives the enrolling clerks total control of their work. And also, the final product is printed in the enrolling clerks office which also should result in savings.

Overall, these improvements in efficiency through automation have resulted in nearly \$1 million in annual savings. The two biggest automation projects addressed in the budget are the new financial management system, called FMSII, and the replacement system for the Secretary's official legislative tracking system, called LEGIS. While my office is developing these systems for Senate-wide use, the Sergeant at Arms, as the Senate officer responsible for overseeing the Senate computer center, is requesting funding for FMSII, and the new legislative tracking system. The Sergeant at Arms and the Rules Committee are partners in these projects and I want to acknowledge their significant efforts.

Mr. Chairman, I would be pleased to answer any of the questions you or the committee would have.

MONTGOMERY MEIGS'S JOURNAL

Senator REID. Mr. Stewart, one of the things that I would like to focus on here for a minute—and, in effect, just make sure the record is clear—is the good work that is done by your office with respect to historical documents.

Just before coming down here, coincidentally, I received a letter from the State archivist in Nevada, Guy Rocca, and in his letter, he sent me a book that he had written about Wyatt Erp, who spent

some time in Nevada. And he said, but for historical documents, he could not have written this book.

Why would we be doing a journal of Montgomery Meigs? The reason is we want to know how the Capitol was constructed. That's the only place we can go because Meigs, who was a captain in the Corps of Engineers, supervised the construction of the House and Senate wings and the Capitol dome for 7 or 8 years. Bibliography works by and about former Senators—some of this is already out.

To make a long story short, these are important things, and we could eliminate these, make them a very small part of your budget, or we could eliminate these. But if we are going to remain a civilization, we can't cut things like this, in my opinion. I think history is so important for future generations. So the work that you do is more than what appears on the surface.

Mr. STEWART. Thank you very much, Mr. Chairman.

With regard to the Meigs journals, I don't know if you're familiar, but he left boxes of shorthand notes in notebooks which had never been transcribed. We had an unusual opportunity. A court reporter in the Office of the Official Reporters of Debates retired and we hired him on a daily basis to transcribe the Meigs shorthand notes.

Senator REID. Is that a tall man?

Mr. STEWART. He retired 3 years ago, and he's now transcribing just these. Not many people can take Pitman shorthand today, but this gentleman is reading those notes and transcribing the shorthand. So we are getting that work done at a fairly modest cost.

AUTOMATION OF LEGISLATIVE RECORDKEEPING

Senator REID. That's wonderful. Over the past 4 years, you have given the subcommittee progress reports on the automation efforts that relate to your legislative record-keeping functions.

Is there anything that you need to add to that, other than what you have given us in your opening statement?

Mr. STEWART. Senator, we are moving ahead. The Daily Digest was automated; that now goes to GPO in an electronic format. The morning business goes to GPO in electronic format, as do votes.

We now are putting in a system that will allow Members to come in and correct their remarks on a computer if they would like to do that. To the extent that we can send down Record material to the GPO in automated form, that means a substantial savings.

There are some limitations in getting the material from a Member—if he submits a lengthy statement for insertion in the Record, we would not rekey that. But as more and more transcript is available in electronic format, that's where the big savings will be in printing the Congressional Record.

DESKTOP PUBLISHING

We are also moving ahead in the case of the Office of Printing Services. They have put a desktop publishing system down there, so they can prepare camera-ready copy for printing at the service department.

So, to the extent that we can direct material to the Senate service department, which is under the jurisdiction of the Sergeant at Arms, there are potential savings to the Senate. But we need to

recognize that only GPO can print the Record and legislative matter and that title 44 requires that certain other materials be printed at GPO.

Senator REID. Mr. Stewart, where are these savings reflected?

Mr. STEWART. The Senate is billed for all work that is sent to GPO, so it would be reflected in the Senate portion of the congressional printing and binding appropriation and eventually in GPO's budget.

Senator REID. That's one of the things we are going to take a real close look at, is how printing is done. It's a fact that we do the printing for the executive branch and this branch, much of it, and we are going to take a look at that and see if we are reimbursed properly and if there are any savings that we can make there.

FMSII

FMSII, you also talked about that briefly in your opening statement. You indicated the Sergeant at Arms is working with you on this. We are preparing to invest a significant amount of money into this project. Is it going to be worth it?

Mr. STEWART. Senator, it is. At the present time, the Senate Disbursing Office uses various computer systems which do not talk to one another, so it will serve one immediate purpose in eliminating rekeying of data.

Another example is that the Senate's financial system is cash based rather than obligation based. If someone asked us to prepare a report on their future obligations, we don't have the capability right now to do that.

The vouchers submitted to the Senate Disbursing Office have about doubled in number when compared to previous years, but that's due to public statutes requiring direct payment to vendors.

We think that FMSII is not only an improvement, but it's vital and necessary for the Senate and will end up reflecting savings in the long run.

Senator REID. You had to start the direct payment to vendors program as a result of a law that was passed?

Mr. STEWART. Yes, sir.

Senator REID. First remind this committee what the direct payment program is and then tell us now that you have been doing this for a year, whether it's affected the Disbursing Office efficiency.

Mr. STEWART. Public Law 101-520, in effect, stated that the Members could not use other than official office funds for paying expenses of their offices, and required me to pay bills directly to suppliers of services rather than to reimburse Senators who had first paid these bills themselves and then sought reimbursement from the Senate. In the past, we would send one check to an office for 18 or 20 miscellaneous items for which they sought reimbursement. We now have individual payments to each of those 18 or 20 vendors.

When this program first started, it resulted in a backlog because the workload doubled. However, with computerization and enormous staff overtime and effort, we have that under control, and we have actually speeded up the process of the payment of vouchers

at this point. We process more, but each voucher is simpler and faster to audit and process for payment.

Senator REID. In your testimony, you indicated the desktop publishing requests to the Office of Printing Services has increased substantially. To what do you attribute this increase?

Mr. STEWART. The Office of Printing Services is basically the clearinghouse for all the printing work the Senate sends to GPO. To the extent that people submit work to them in electronic form, it can be directed to the quickest and the least expensive way to print, whether that be in the service department or the GPO or some other method.

But now with the power of desktop publishing software, we can take some information and basically send it in an electronic format to GPO and get the final product at much less cost than it would by sending that over in hard copy and having it keyed and set in the old heavy metal.

TRANSPORTATION SUBSIDY

Senator REID. The stationery room has begun to sell farecards to comply with Federal law offering subsidies for Federal workers who use mass transit. What has been the response to this?

Mr. STEWART. We are trying to encourage that. The problem, in particular as it applies to my own office, is that I'm 90 percent personnel, 10 percent expenses. A large portion of my people work on the Senate floor. Their hours are erratic so they are not able to participate in this program. There is also the problem that, while it was authorized, it was not funded.

All of the offices, including Members and committees, have to absorb the cost of this program, and that may be one reason why there has not been the level of participation expected.

Senator REID. Senator Mack?

Senator MACK. Thank you, and welcome.

Mr. STEWART. Thank you, sir.

BUDGET REDUCTION

Senator MACK. Since this is my first meeting and the first opportunity to go through these different issues and questions, if you would, just kind of go over for me that you just mentioned that this is the second year in a row that you have made a reduction in your request. Tell me a little bit about that. Give me a sense of both the numbers of employees in dollar amounts of the budget so that I can put that into context.

Mr. STEWART. Senator, I am requesting \$12,272,000 to fund salaries for employees of my office.

In the current budget, we saw large savings that could be realized because the money authorized by this committee for the Office of Captioning Services, we found that those expenses were not what we thought they would be. So that's the primary result of the 5.9-percent decrease this year.

Senator MACK. Again, the 5.9-percent decrease?

Mr. STEWART. Yes; in the expense category for the Office of the Secretary.

We have previously requested four additional employees for the new Senate library, which is supposed to be coming on-stream. We

have deleted that request. We have not only said that we will try to operate with what we have, but we have an ongoing program now to assess every office and see if, by attrition or retirement, we can further reduce personnel costs which are about 90 percent of my budget.

Both this committee and the Rules Committee and Senator Mitchell, in particular, have requested all of these support offices to look toward making substantial reductions over the next 4 years.

SENATE LIBRARY MOVE

Senator MACK. You mentioned the Senate library, and that was the next question I wanted to ask you about.

As I understand it, there were funds to design new space for the Senate library approved last year, and I understand it is progressing. And I also believe that the Architect has requested \$5 million for the actual renovation work in the 1994 budget.

Given the pressures that are on us, is this something that we should delay?

Mr. STEWART. I would encourage you not to, Senator. Several years ago, Capitol engineers said we had to get the weight of the books off the top floor of our Capitol, so we disbursed the Senate library's collection to three different places. One-third went to a basement vault in the Adams Building of the Library of Congress, and one-third went first to a warehouse in Franconia and then to a warehouse in Alexandria.

The volumes in the Adams vault developed a mold problem, which we had to then spend money to treat. GSA had a leak in the Franconia warehouse, and some of that material got water damaged. The Sergeant at Arms then located a new, closer warehouse although it's still not ideal.

We had hoped that all of the library functions would be pretty much consolidated in the Dirksen Office Building, which would make the Senate library more accessible to Members and their staffs. The problem is that this is a growing collection. When Members want information, they want the most up-to-date information. I would hope that funds for moving the library wouldn't be deleted. I would hope that we could look to other places in the budget, but we will be guided by the mandates of this committee.

Senator MACK. Again, the driving force behind this was the weight on the fourth floor of the Capitol?

Mr. STEWART. Yes, sir; the volumes were shelved in large, tall bookshelves on the top floor of the Capitol, and the engineers, in effect, said they had to be taken out right away because of their excessive weight. So we had to cut those shelves in half and spread the books out.

Senator MACK. Again, because this is all relatively new to me, who uses the library? I must say, in the 4 years that I have been in the Senate, I have not been in the Senate library. Is it used by Members of my staff and other Members' staff?

Mr. STEWART. Senator, I cannot tell you about your own staff. I would say that the inquiries that come to the library in terms of legislative requests were 74,000 last year. In terms of reference or research, it was around 19,000. Members call and ask for information of immediate need dealing with Senate hearings.

The legislative staff are the ones who make most of the requests, and we assume that's for a Member. And, of course, the reading room is used quite a bit. If we get a request for material that's not in our immediate collection, we will retrieve it from one of the satellite locations and get it out as soon as possible.

BUDGET REQUEST CLARIFICATION

Senator MACK. I want to go back again so I will understand the numbers.

The 5.9-percent decrease in the request, is that compared to what was spent last year or what you anticipated what you would be spending this year?

Mr. STEWART. The 5.9 would be a decrease from my request last year.

Senator MACK. Let me see if I could ask it in a different way.

Mr. STEWART. 5.9 decrease from expense appropriations last year.

Senator MACK. So that I could put it in language that maybe I understand, how much did we spend last year?

Mr. STEWART. \$1.4.

Senator MACK. \$1.4 million?

Mr. STEWART. \$1.4 million on expenses.

Senator MACK. What are we talking about here?

Senator REID. Nonpersonnel.

Senator MACK. Is 9.5 percent a reduction in personnel numbers?

Mr. STEWART. The expenses are nonpersonnel expenses of the Secretary.

Senator MACK. Let's talk about the overall budget. The total was \$14 million, and that was going to be the request, and now it's going to be \$13 point something?

Mr. STEWART. That's correct. That represents deleting the additions which we previously requested, plus cutting the appropriations for the expense portion of that budget from last year.

Senator MACK. How does your request, then, of \$13 some million compare to last year's expenditure?

Mr. STEWART. On the expense side for the operations of 1993, it would be \$1,452,500. For 1994, it's \$1,366,500.

Senator MACK. I don't have any further questions.

Senator REID. Senator Murray?

Senator MURRAY. Mr. Stewart, thank you for coming today.

First of all, let me thank you for all of the help you have given my staff and myself as we adjust to this office, and I also want to thank Jeri Thomson of your staff, who is a native of my State, for all that she has done. You have both been terrific, and I appreciate it.

SENATE/HOUSE COORDINATION

I would like to know if your office speaks with the comparable office on the House side—I assume it's the Clerk of the House—on what they do to find savings. Do you have any talks about trying to find things that you both can do, perhaps things you do that they don't do or they do that you don't do.

Mr. STEWART. We do talk in terms of comparing the amounts that we spend, but the missions and the projects of the House are

somewhat different. The Clerk's Office is also structured differently from the Office of the Senate Secretary. They have several officerships in the House—the Doorkeeper, the Clerk of the House, and the Sergeant at Arms—and duties and responsibilities are divided differently.

But, we frequently talk on things like captioning services, when we both wanted to put it in. We looked at the relative ways of doing it and least expensive way to accomplish it in terms of the way they handle their official reporting system.

My guess is the savings it will achieve in one House will incur in the other.

PAYROLL PROCESSING COSTS

Senator MURRAY. For example, they do their payroll once a month. Have we ever looked at doing that?

Mr. STEWART. We have, but that's not a popular idea here. Paychecks issued twice a month is a convenience to employees.

Senator MURRAY. Do we know what kind of savings we would achieve if we looked at something like that?

Mr. STEWART. Senator, the House is converting to our method of payment in about 18 months because of efficiency and employee satisfaction.

Senator MURRAY. So it's either not saving the money or their employees complain.

Mr. STEWART. It is more efficient in many ways than doing the payroll monthly.

Senator REID. Why would it be more efficient?

Mr. STEWART. Basically, Mr. Chairman, it encourages offices to continually manage their payrolls and electronic banking means. We don't expend many resources issuing payments.

Senator REID. If the Senator from Washington would yield, before I came back here, I ran a little business, a law firm with quite a few people in it, and I paid employees by the month. They didn't like it, but it saved me a lot of money, and I think in the long run it didn't hurt them. But administratively, wouldn't it save money?

Mr. STEWART. Mr. Chairman, we will certainly look into that again and report back to your committee.

Senator MURRAY. Has a cost analysis ever been done on that?

Mr. STEWART. Not recently to my knowledge.

Senator MURRAY. I was just curious, in a time when we are trying to save every dime, is that something that's been looked at, and would it be efficient if we were to do that?

Mr. STEWART. It is a good suggestion. It is one that we will undertake and look into and report back to you.

Senator MACK. Would you yield?

Senator MURRAY. Yes.

Senator MACK. Could you give me a sense of the numbers?

We are talking about payroll for the Members of the Senate, plus how many other people?

Mr. STEWART. The total Senate payroll, except the Architect of the Capitol, are met through this office.

Senator MACK. How many people would that be?

Mr. STEWART. That would be about 7,400.

Senator MACK. I guess the only point that I would make—and I would yield back—is it may be relatively easy for us to handle our finances with a check once a month, but I'm not—again, having been an employer before coming here with probably 75 employees or something like that—I know that it was difficult for those individuals to operate on something other than at least twice a month.

So I think that when we look at how we are going to operate the Senate, we need to take into consideration the effect that it has on the employees of the Senate as well as how the Members are affected.

Senator REID. At the end of the year, though, you still have the same amount of money.

Senator MACK. I grant you that.

Mr. STEWART. We would not make any changes without checking with this committee and the Rules Committee.

Senator MURRAY. Thank you, Senator.

And what I would really like to know is whether there is really a cost savings in doing that, and we would have to see that, but I am curious about it.

STAFFING

And the other question I have is, Are you deleting positions this year?

Mr. STEWART. We are deleting positions that were in our original budget request.

Senator MURRAY. And what positions are those?

Mr. STEWART. There were four positions for the new Senate library, but we are also looking at all the other departments to see what savings can be affected.

Senator Mitchell issued a statement in the last couple of weeks in which he indicated that the legislative branch—and the Senate, in particular—would be meeting the executive department's goal for reductions and hopefully bettering that.

SECRETARY'S JURISDICTION

Senator MURRAY. As a new Senator, maybe you can help me. Of the departments you oversee, which ones are you looking at?

Mr. STEWART. In the Office of the Secretary, we have a lot of the administrative functions necessary to run the Senate floor and produce the Congressional Record, printing services for printing bills, resolutions, and other Senate documents, the Senate Historian, the Curator, the Disbursing Office, the Office of Senate Security, Executive Clerk, the Parliamentarians, public records, captioning services, the stationery room, and gift shop.

Senator REID. Senator Burns?

Senator BURNS. Thank you for coming this morning.

I want to start off, Mr. Stewart, by saying that I have been here 4 years. I want to congratulate you on your office. I won't say you get all the things done that you are destined to do or requested to do, but you have always been kind. The new Senator from Washington will also find we need this man every now and again because we wander around lost a little bit and show up new.

I want to go back and follow up a little bit on what Senator Mack had to say. Actually, last year you had the \$1,452,000 that was appropriated. How much of that did you spend?

EXPENSE REDUCTION

Mr. STEWART. Senator, there are still some outstanding obligations. I can't give you a final expenditure total yet.

Senator BURNS. I would like to know that, and even in the salary line, too, the \$11 million. And the reason I say that, before we can get any fiscal responsibility of what we are trying to do here, we have got to have some kind of an idea not what we are appropriating and not what we are budgeting, but we have got to have something that is a little more stable that we can base decisions on what we actually spend in real dollars.

In other words, I'm not a great fan of baseline budgeting. I think if the American people and you go out there and try to explain it, I can't. But what I'm saying is that, I think there should be some reward to those departments and agencies that operate their departments and are within budget, and we don't go on one of these crash programs to expend moneys to preserve our budget, we have got to get away from that in some way or other, and that's the reason I follow up on that.

I have no further questions, but I would like just to know that.

Mr. STEWART. We project that the unspent funds will be pretty close to the reductions that we are requesting this year. That came only from one department, the Office of Captioning Services, which we were mandated to do by the American Disabilities Act and Senate resolution. The Department of Education gave us an estimate of what it would cost to operate this shop, and we requested that amount. We found that it could be done for less, and that's why we are turning this money back. So, we are trying to do just what you are suggesting.

Senator BURNS. Mr. Stewart, do you have any idea what the American Disabilities Act, how much that added to your expense of operating your office over there?

Senator REID. We did that before the act passed, though.

Mr. STEWART. About \$1.5 million.

Senator REID. That was not as a result of the American Disabilities Act. We talked about that before that act had passed.

Mr. STEWART. We talked about it, and this is something this committee, the Rules Committee, and the Senate urged us to do.

Senator BURNS. Thank you, Mr. Chairman.

ADDITIONAL COMMITTEE QUESTIONS

Senator REID. Thank you very much.

There will be some questions which will be submitted to you for your response.

[The following questions were not asked at the hearing, but were submitted to the Department for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

OFFICE OF PRINTING SERVICES

Question. In 1987, a desktop publishing system and other automation upgrades were installed in the Office of Printing Services. At that time, you indicated that the system had paid for approximately 82 percent of its cost over a period of four months. What additional savings can you report?

Answer. Through installation of updated hardware and software during the intervening years, we currently have the ability to prepare a full range of publications, from large books to one-page forms for many offices, including the leadership. We can respond instantaneously to requests, control the overall turnaround, choose the method of printing best suited for the job, and thereby not only control but also lower costs.

Senate Procedure was printed and distributed at the end of the 102d Congress. GPO estimated that the cost to print 1,500 copies would be \$947,000. Because the previous edition had been printed using hot-metal technology, this cost included the re-keying of the entire book and inserting GPO printing codes by personnel at the GPO. As a direct result of the automation improvements made in the Office of Printing Services, we were able to scan the book into WordPerfect so that the Parliamentarian could update it. Then the staff at Printing Services used a variety of programming techniques to insert GPO codes automatically. The job then was submitted to GPO in electronic form which significantly reduced printing costs. The cost of printing 4,392 copies of Senate Procedure was \$403,200, a savings of \$543,800 for this publication only, which included almost three times the number of books in the original estimate.

DESKTOP PUBLISHING

Question. In your testimony you indicate desktop publishing requests to the Office of Printing Services have increased substantially. To what do you attribute the increase?

Answer. The Senate can print in-house using the Service Department, or through GPO, depending upon the category of work.

Printing Services can now prepare camera copy or fully composed electronic files for printing at both the Service Department and GPO. Because Printing Services staff work from electronic files sent to them by originators of the work and compose this work in their office, they are in a position to direct the flow of work to the most appropriate shop for the actual printing.

For example, we recently printed the Senate Class List at the Service Department at a cost of approximately \$25 (in about an hour's time), as compared to last year's cost of \$983 at GPO. That is a substantial savings to Congressional printing and binding, and is very representative of other savings we can provide the Senate.

Upon the full implementation of the Senate Fiber Network, we will be able to fully control job preparation, and direct the work to the least costly and quickest printing method depending upon the job specifications and required turnaround time.

So, desktop publishing requests have increased because we control quality, cost and delivery times.

AUTOMATION

Question. For the past four years, you have given us progress reports on your automation efforts as they relate to your legislative record keeping functions. Could you update us once again?

Answer. Mr. Chairman, I am very proud of all the hard work the Secretary's legislative staff have put in over the past four years. The Official Reporters, the Enrolling Clerks, the Morning Business Editors and the Daily Digest staff have worked long hours to get these new systems working at maximum efficiency. Of course, the Journal Clerks started the recent automation trend so they too deserve some recognition.

The Record automation project is in its last, but most difficult, phase. It is difficult because of the way we have to electronically sort and resort Senators' remarks as they move through the production and editing steps, plus GPO will have to change some of its workflow patterns to receive our transcript electronically. But you should see some reduction in the charges to the Senate for printing the Record in the next few years.

The Enrolling Clerk's project is complete. The challenge now is to maintain total compatibility with GPO as they continue to upgrade and modernize their plant.

We do not anticipate any changes to the captioning studio, but changes in related offices could require some updating of equipment here as well. This office works extremely closely with the Recording Studio.

Many of the software systems we require, such as the Official Reporters' CAT software and the Library's management system, run only on Novell LAN's while the Senate standard is MicroSoft migrating to LAN Manager. We will be upgrading our overall LAN to a Novell with the consent of the Rules Committee and the new Legislative Record Keeping System, which feeds LEGIS, will be programmed to run on it.

Overall, I am very satisfied with our progress and want to recognize the Sergeant at Arms and GPO for their tremendous support in these efforts.

FMSII

Question. You have given some prominence to discussion of the new financial management system. I've noted the Sergeant at Arms will be funding this project through her Computer Center expenses. All in all, we are preparing to invest a significant amount of money into this project. Can you remind the Committee why this is so important in this time of budgetary restraint?

Answer. The Senate now uses a cash based accounting method and we simply must move to an automated obligation based system. A comprehensive financial management system has never been installed in the Senate. Seven different computer systems are used in the Disbursing Office and most do not talk to each other. This means that staff key, and rekey data. This is inefficient, costly and time consuming.

Also, the Disbursing Office, being cash based, provides offices in the Senate with monthly statements reflecting balances of funds paid, not funds obligated. Offices have developed their own methods of tracking obligations and frankly, some of these are better than others. Reconciling these internal systems with the Senate ledger entries can be confusing and time consuming. Senators need better management tools.

FMSII will incorporate appropriate requirements from the Federal Reserve and the Treasury Department, and provide for uniformity in accounting practices throughout offices of the Senate while providing authorized staff online, immediate access to that office's financial data. Payroll and voucher data will be entered into the system from secure terminals in each office and transmitted electronically to the Disbursing Office in a secure environment while the paper remains in the originating office.

Most businesses continually upgrade their financial management systems. It is now time for the Senate to have an integrated financial management system to maintain budgetary and financial controls and to provide greater financial integrity for the Senate. I should note that we already have achieved significant cost savings to the Senate through this project and we are still in the preliminary stages.

FMSII—FOLLOW-UP

Question. You mentioned significant cost savings. I would like to hear more about that.

Answer. In investigating the requirements for publishing the Report of the Secretary of the Senate, the Disbursing Office (FMSII staff) established a database which runs on the LAN in the Disbursing Office. This database allows staff to move certain data elements necessary for the Report where we can edit, manipulate and add information. By making some simple design and format changes, we were able to reduce the Report to one volume rather than expanding to three volumes without the elimination of any information. This resulted in an estimated savings of \$300,000 for the Report released last November. We will see those savings, of course, with each Report printed as long as we can keep it to one volume.

As I said before, the Senate has never had a comprehensive integrated financial management system. As we continue our careful and thorough analysis of processing options, I am confident we will find many such examples of cost savings and improved efficiency for the Senate.

DIRECT PAYMENT TO VENDORS

Question. You had to start the direct payment to vendors program as a result of Public Law 101-520. First, remind this committee what the direct payment program is and then tell us, now that you have been doing this for one year, whether it has severely affected the Disbursing Office's efficiency?

Answer. Senator, Public Law 101-520 included a requirement that Senators could no longer be able to use funds other than official funds or personal funds to defray

official expenses. This meant that Senators must submit vouchers payable to individuals or companies and checks would be issued directly to the payee. This represented a significant change from prior Senate practice.

While the volume of vouchers being processed by the Disbursing Office has nearly tripled, through the Disbursing Office staff's diligent and efficient efforts, we have been able to shorten the time needed to process a voucher as a result of each voucher corresponding to one payment. The complexities of auditing and processing a multi-vendor voucher have been eliminated and we were pleased at the significant gains made in processing time.

BUDGET CUTTING

Question. The Committee funding resolution calls for a net funding level of 6.7 percent below the fiscal year 1993 level. How would the Secretary's Office accommodate such a cut?

Answer. Clearly, we are in a period of reduction and I will follow the directives of this subcommittee. The Secretary's Office is unusual because 90 percent of the fiscal year 1994 budget request is for personnel and only 10 percent is for expenses. It is people who process vouchers and payrolls; people who process and record the Senate's legislative business; people who prepare the Record and Journals and caption proceedings. And we provide services directly to Members and the Leadership through the Library, the education of Senate pages, Interparliamentary Services and the Stationery Room. Legislative and financial responsibilities as well as other functions, such as captioning of Senate proceedings and the services of the Office of Public Records, are mandated by law.

Because the Secretary's Office is so people dependent, and because so many of our jobs require years of on-staff training in order to reach the required proficiency, the Senate risks some valuable assets. One cannot learn to be a Parliamentarian, Journal or Legislative Clerk in any school in America. Training occurs on-the-job over many years.

One cannot hire an assistant in the Office of Public Records; one has to be trained and knowledgeable about the various laws requiring filings. While one can hire reference librarians, we have been able to handle the heavy workload because our current librarians have accumulated so many years of Senate experience among them that they are able to follow closely the legislative schedule and anticipate in advance the needs of Senators.

In short, we hire at the entry level and train and promote over time. The Secretary's Office has one of the lowest turnover rates in the Senate. These skilled people have served the Senate through changes in party dominance, leadership and Secretaries.

FARECARDS

Question. The Stationery Room began selling farecards to Senate offices to comply with federal law offering subsidies for federal workers who use mass transit. Has the response to this program been good so far?

Answer. Response has been satisfactory so far, but Senate hours make it difficult for a number of staff to take advantage of mass transit. In my office, for example, staff who work in offices with regular business hours are taking advantage of the farecard program. However, staff who work in the Chamber have not been able to use the subsidy because when they arrive in the morning they frequently don't know how many hours they will be working that day. Since Senators and committees must fund the transportation subsidy from existing office funds and large offices are running on tight budgets, a few years' adjustment may be required before they can fully fund the program.

RIDDICK'S SENATE PROCEDURE

Question. The latest edition of Riddick's Senate Procedure is most welcome, and I trust will be of great help to Senators and staff. How has this volume been distributed? Are copies available through the Document Room?

Answer. The Rules Committee handled distribution of Senate Procedure to committees and I, through the Document Room, handled distribution to Senators and other Senate offices. Because of the expense of printing this volume, we anticipate updating and reprinting it every ten years even though new precedents occur regularly. The printing resolution called for printing enough volumes to supply current Senators and new Senators as they are elected. Copies are available from the Superintendent of Documents.

SENATE LIBRARY RELOCATION

Question. What is the status of the proposed relocation of the Senate Library?

Answer. The space for the new library facility was reauthorized by the Rules Committee in September 1992. This approval cleared the way to engage the services of Professional Library Consultants, P.A. to develop a space utilization program and layout.

Work on this planning has progressed quite satisfactorily in the last few months. In close consultation with staff from both the Library and the Architect's Office, a space plan is in the process of development; the library designer's drawings are due to be submitted to the Architect by April 1, 1993.

The Architect's Office will then use this plan to develop blueprints, construction specifications, and interior designs for the new facility. We are hopeful that the Architect's staff will be able to expedite work on this project so the necessary approvals can be obtained as quickly as possible.

Our goal is to be able to begin renovation of the new space by October 1, 1993, when funding for the project, which I am requesting of the Committee at this time, will become available. If we can follow this timetable, we envision the opening of the Senate Library in its new location in September 1994.

SENATE GIFT SHOP

Question. Has the transfer of gift items to a separate operation had any impact on the Stationery Room?

Answer. The creation of the Gift Shop allows both Senate staff and the public access to gifts that had been available in the Stationery Room. Stationery Room shelf space now can be used for a wider range of office and computer supplies for the Senate offices.

No additional staff were added and no additional appropriation was required to open the Gift Shop.

We will be seeking the advice of the Rules Committee as we expand the type of office supplies available in the Stationery Room.

SENATE GIFT SHOP/STATIONERY ROOM

Question. Last year the Senate created a gift shop separate from the stationery room and open to the public as well as Members and staff. Prices for items in the gift shop are established at levels sufficient to fully cover the operational costs.

What is your assessment of gift shop operations to date? Have proceeds covered costs? This committee approved funds several weeks ago to renovate Russell Building space for the gift shop. Is that work on schedule?

Answer. Senator, it was important to open the Gift Shop for the Christmas buying season just for that reason. We calculated that profit from the holiday period would cover the operational costs during the slower post-New Year's season, and that has happened. The temporary space is small so the inventory and staff are small. We have seen, however, that the Gift Shop is very popular with constituents visiting Members and we look forward to moving into the permanent location once renovation is complete later this spring.

SENATE GIFT SHOP

Question. Sales to the public are on a cash-only basis, which certainly would seem to limit purchases. Can you make provision for credit card purchases?

Answer. Senator, it is true that only cash sales are allowed for anyone not on the Senate payroll. Those on the Senate payroll and presenting a valid ID may write a check, but that is only because we have the means to collect should the need arise. Let me emphasize that this has not been a problem and we do not anticipate it being a problem.

The Gift Shop will accept credit cards when the permanent facility opens and a computerized cash register system is installed. This system has built into it a credit card scanning mechanism that provides us the same protections as other retail businesses against credit card misuse.

STATIONERY ROOM

Question. Since implementing the Bar Code System in the Stationery Room, what improvements have resulted?

Answer. In the daily operation of receiving and merchandising items, the time-consuming process of labeling merchandise has been minimized. The UPC label also allows a more accurate tracking of inventory and less destruction of packaging. Inventories that previously took GAO and Stationery Room personnel three to four

days once a year now can be completed in two days using automated inventory trackers with the UPC labels.

CAPTIONING SERVICES

Question. Let me give you an opportunity to talk about the office of captioning services, which seems to be a major success.

Answer. We have been very pleased that the hearing impaired community has been so complimentary of this service which was mandated first by the Rules Committee and later by the Americans with Disabilities Act.

As noted in my prepared statement, I am requesting a decrease in my expense budget because it has cost us less than expected to operate the captioning service.

We have the only captioning studio where the captioners put themselves on-air. The BBC has visited us to see how we built our studio, the computer set-up and how we integrate captions with the video. They were very impressed with the facility, but they were more impressed with the skills of our captioners—so impressed that they discussed opportunities in England with them.

After the initial capital outlays, we have found that day-to-day operations are relatively inexpensive. Expendables are few, the cost is in the skilled personnel, but there is a constant requirement to keep computers and software running at maximum levels and to maintain compatibility with the Recording Studio. As one upgrades, the other will need to as well.

CONSERVATION AND PRESERVATION

Question. You have been working since your election as Secretary on the Senate Library's collection of books and materials. For the past two years, staff in the Office of Conservation and Preservation have been surveying the entire collection to determine its condition. With the move of the Library upcoming, can you give this subcommittee your best assessment of the Library's collection and what it will take to move it to the new Library location in the Dirksen Building?

Answer. Last year, conservation specialists spent several days reviewing the collection. Our own staff surveyed over 29,000 volumes and found several sets which needed immediate attention. Those volumes most fragile are being repaired now so that they can be safely moved. We feel certain that by the time the Library moves about a year and a half from now, we will be ready to move all the volumes from the fourth floor of the Capitol, the vault and the Alexandria warehouse quite safely. Keeping the collection in good shape is a never ending job for our conservation and preservation staff of two.

SENATE LIBRARY

Question. Funds to design new space for the Senate Library were approved last year, and I understand that design work is progressing well. The Architect has requested \$5,000,000 for the actual renovation work in his fiscal year 1994 budget request. Given the requirements to make reductions in Legislative Branch appropriations this year, should we delay action on this item, or is it such priority that we ought to make other reductions in order to fund it?

Answer. Design work is progressing well. The library space planner expects to have his design to us so that we can, in turn, submit it to the Architect by April 1, 1993.

As you may know, Senator, several years ago we were required to split the Library's collection into several parts because the weight of the books was more than the Capitol Building could sustain. Since that time, the most heavily used items in the collection have remained on the fourth floor of the Capitol and other items have been moved to a vault in the Library of Congress's Adams Building and to a warehouse in Virginia. We have encountered problems with mold in the Adams vault and books, then stored in a Franconia warehouse, were severely water damaged when the roof leaked. Books are now housed in a more suitable warehouse in Alexandria, but a warehouse is not sufficiently clean or environmentally desirable to properly store books. Let me add that some of the books destroyed by the Franconia warehouse leak were irreplaceable.

In my view, this move is too important to delay not only to consolidate and preserve this unique collection, but because we cannot serve the Senate community as it deserves with the resources spread over three separate locations. Having access to accurate information quickly is always important to a legislative body.

SENATE CURATOR

Question. Will the Senate Curator and the preservation office remain in the Capitol?

Answer. Current plans are to leave both of those offices on the fourth floor of the Capitol.

SENATE SERVICE AWARDS

Question. Senate service awards are given to Senate staff after 12 years of service in the Senate. What was the original rationale for service awards being awarded after 12 years? Have you ever considered adding a second award after say eighteen or twenty years?

Answer. Senator, service awards are presented based on regulations promulgated by the Rules Committee according to the provisions of S. Res. 21, adopted September 20, 1965.

Rules Committee revised these regulations in 1987 and they specifically state that service awards will be given "after the completion of twelve years on the Senate payroll" and that "no additional pins or certificates will be subsequently awarded to such individuals for additional Senate service."

The service award program has been highly regarded since its inception in 1965. It is important that staff who work long hours at difficult jobs be recognized after years of service. While I don't have the authority to issue service awards except upon completion of 12 years of service, I do strongly recommend that this program remain in place.

SENATE LIBRARY—COMPACT SHELVING

Question. It is my understanding that movable stacks similar to those in the Document Room are proposed for the new Senate Library facility in the Dirksen Building, and that this is a major cost contributor. Are these really necessary for this operation?

Answer. Compact shelving is an essential component of the design for the new library facility. As I just mentioned, we are seeking to consolidate portions of the collection that are stored offsite because of the weight problems in the Capitol attic. Compact shelving makes it possible to unite the collection to make these sets more conveniently and quickly available. An equally important advantage afforded by compact shelving is the room it will provide for future growth. The Senate Library has been in its present location for over 100 years. These collections expand inexorably—we have estimated we need 500 linear feet each year—and I would be remiss in my duty if I did not plan for the Senate Library to be able to remain in this new location for as many years. That means planning for known growth of the collection. Since the space assigned for the new library is on the basement level, the weight factor will no longer constitute a limitation. It would be penny-wise and pound-foolish not to install compact shelving and thus lose this opportunity both to unify the collection and to furnish room for future growth.

SENATE LIBRARY READING ROOM

Question. Is it still your plan to keep the Senate Library's reading room open?

Answer. Yes, we still plan to have the Reading Room and the adjacent reference room in the Capitol available for use as a branch of the main Senate Library operation in the office buildings. The Capitol branch office will provide information quickly to the floor and to leadership and other offices in the Capitol building, as well as offer a quiet place in the Capitol for Senators and staff who might need to work without distraction or interruption. These rooms have been used for this purpose since 1870, and it seems altogether fitting that they continue to be dedicated to this purpose.

 QUESTIONS SUBMITTED BY SENATOR CONNIE MACK

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What is your assessment of gift shop operations to date? Have proceeds covered costs? This committee approved funds several weeks ago to renovate Russell Building space for the gift shop. Is that work on schedule?

Answer. Senator, it was important to open the Gift Shop for the Christmas buying season just for that reason. We calculated that profit from the holiday period would cover the operational costs during the slower post-New Year's season, and that has

happened. The temporary space is small so the inventory and staff are small. We have seen, however, that the Gift Shop is very popular with constituents visiting Members and we look forward to moving into the permanent location once renovation is complete later this spring.

SENATE GIFT SHOP

Question. Sales to the public are on a cash-only basis, which certainly would seem to limit purchases. Can you make provision for credit card purchases?

Answer. Senator, it is true that only cash sales are allowed for anyone not on the Senate payroll. Those on the Senate payroll and presenting a valid ID may write a check, but that is only because we have the means to collect should the need arise. Let me emphasize that this has not been a problem and we do not anticipate it being a problem.

The Gift Shop will accept credit cards when the permanent facility opens and a computerized cash register system is installed. This system has built into it a credit card scanning mechanism that provides us the same protections as other retail businesses against credit card misuse.

Question. Has the transfer of gift items to a separate operation had any impact on the Stationery Room?

Answer. The creation of the Gift Shop allows both Senate staff and the public access to gifts that had been available in the Stationery Room. Stationery Room shelf space now can be used for a wider range of office and computer supplies for the Senate offices.

No additional staff were added and no additional appropriation was required to open the Gift Shop.

We will be seeking the advice of the Rules Committee as we expand the type of office supplies available in the Stationery Room.

CAPTIONING SERVICES

Question. Let me give you an opportunity to talk about the office of captioning services, which seems to be a major success.

Answer. We have been very pleased that the hearing impaired community has been so complimentary of this service which was mandated first by the Rules Committee and later by the Americans with Disabilities Act.

As noted in my prepared statement, I am requesting a decrease in my expense budget because it has cost us less than expected to operate the captioning service.

We have the only captioning studio where the captioners put themselves on-air. The BBC has visited us to see how we built our studio, the computer set-up and how we integrate captions with the video. They were very impressed with the facility, but they were more impressed with the skills of our captioners—so impressed that they discussed opportunities in England with them.

After the initial capital outlays, we have found that day-to-day operations are relatively inexpensive. Expendables are few, the cost is in the skilled personnel, but there is a constant requirement to keep computers and software running at maximum levels and to maintain compatibility with the Recording Studio. As one upgrades, the other will need to as well.

RIDDICK'S SENATE PROCEDURE

Question. The latest edition of Riddick's Senate Procedure is most welcome, and I trust will be of great help to Senators and staff. How has this volume been distributed? Are copies available through the Document Room?

Answer. The Rules Committee handled distribution of Senate Procedure to committees and I, through the Document Room, handled distribution to Senators and other Senate offices.

Because of the expense of printing this volume, we anticipate updating and reprinting it every ten years even though new precedents occur regularly. The printing resolution called for printing enough volumes to supply current Senators and new Senators as they are elected. Copies are available from the Superintendent of Documents.



OFFICE OF SERGEANT AT ARMS AND DOORKEEPER

STATEMENT OF MARTHA S. POPE, SERGEANT AT ARMS AND DOORKEEPER

ACCOMPANIED BY:

BOB BEAN, DEPUTY SERGEANT AT ARMS
MIKE BARTELL, DIRECTOR, SENATE COMPUTER CENTER
BOB McCORMICK, DIRECTOR, SENATE TELECOMMUNICATIONS
RUSSELL JACKSON, DIRECTOR, SENATE SERVICE DEPARTMENT
CHRIS DEY, CHIEF FINANCIAL OFFICER

BUDGET REQUEST

Senator REID. We will consider next the request of the Sergeant at Arms and the Doorkeeper.

The original fiscal year 1994 budget request for the administrative functions under the Sergeant at Arms included a total of \$116,500,000, a decrease of \$183,000 below the 1993 enacted level to \$116,683,000. The request for salaries is \$35,500,000. The expenses, \$81 million, which is a decrease of \$1,944,000.

I understand that the Sergeant at Arms has identified additional reductions totaling approximately \$9 million. This includes a further reduction of \$2.8 million for salaries, \$6.1 million for expenses. We look forward to discussing these proposals with Ms. Pope and her associates.

PREPARED STATEMENT

For the information of new members, this is the second year in a row that the Sergeant at Arms has requested lower funding than previous years. I congratulate you on this accomplishment. We are pleased to have Martha Pope, the Sergeant at Arms, with us, and I would ask you to identify those staff members that are with you. We will include a full statement in the record. If you would highlight your statement, we will proceed with our line of questioning.

[The statement follows:]

STATEMENT OF MARTHA S. POPE

Mr. Chairman and Members of the Committee, I appreciate the opportunity to appear before you today to present the funding request for fiscal year 1994 for the Office of the Sergeant at Arms and Doorkeeper.

I am accompanied by: Bob Bean, Deputy Sergeant at Arms; Mike Bartell, Director of the Senate Computer Center; Bob McCormick, Director of Senate Telecommunications; Russell Jackson, Director of the Senate Service Department; and Chris Dey, Chief Financial Officer.

First, I would like to thank the Committee for its continued support during the past year. Our efforts to support the Senate would not be possible without it.

Our major objectives have been to provide high quality service while at the same time ensuring financial accountability and cost control. We continue to strive toward these objectives and submit today a funding request with these goals in mind. Our total funding request for 1994 is \$107.6 million. This is a \$9 million or 7.8 percent decrease from fiscal 1993 and an almost \$15 million or 12.2 percent decrease from 1992.

We have decreased our personnel request by \$1 million to \$32.7 million and have eliminated 20 positions. Our expense request is a decrease of \$8 million to \$74.9 million. We are able to make these reductions as a result of recent decisions to buy-out all of our leased SDCN and mainframe equipment; to defer further upgrades to the mainframe; and to bring management of the SDCN project in-house.

During the past year, significant progress has been made in several areas of great interest to the Committee:

In the area of office systems, during the 102nd Congress, the Computer Center installed 2,100 microcomputers on 79 LAN's. By May, 1993, an additional 600 microcomputers will be installed on 46 new LAN's. As you know, these LAN's offer significantly increased functionality combined with lower maintenance costs, as compared to minicomputer systems.

In response to the needs of Member offices, we have secured new mail service systems. These systems are integrated with the standard Senate LAN. Several systems were viewed as necessary to accommodate both the larger offices and the smaller offices.

In Telecommunications, largely as a result of purchasing previously leased equipment and bringing in-house certain SDCN functions, we are able to reduce our 1994 request by almost \$5 million. We continue to see savings from our call routing switch which selects the least costly vendor for all long distance calls.

In the Service Department, we have realized cost savings through use of inkjet labeling technology and with our mail sorting equipment. In addition to improved quality and more efficient processing, the inkjet labeling equipment reduces production and label storage costs.

Before presenting our 1994 initiatives, I would like to inform the Committee on recent organizational changes within the Sergeant at Arms which we expect will yield operating efficiencies, improved service and reduced costs in addition to strengthened financial controls and practices.

In an effort to better manage our total communications operations, the Senate Data Communications group was moved from the Computer Center to the Telecommunications Department. This will enable us to consolidate our voice and data communications operations. It further allows Computer Center management to dedicate its efforts to satisfying the Senate's information systems needs.

In a similar move, the Production Services group within the Computer Center has moved to the Service Department where most of our other printing operations are managed.

Finally, we have consolidated all financial management functions under one office with an objective to improve procedures, productivity and financial practices and information systems.

The materials which have been provided to the Committee detail the 1994 funding requests for the Office of the Sergeant at Arms and Doorkeeper. I would like to include for the record a summary of major initiatives for the upcoming year.

Mr. Chairman and Members of the Committee, I thank you for the opportunity to appear before you today. My staff and I are prepared to answer any questions you may have.

SUMMARY OF MAJOR INITIATIVES OF THE OFFICE OF THE SERGEANT AT ARMS AND DOORKEEPER

SENATE COMPUTER CENTER

Summary

The Computer Center budget request for fiscal year 1994 is consistent with the Appropriations Committee's intent to stabilize services while containing staff growth and overall expenditures. The Center's 1994 request is 9.2 percent below the 1993 level due to the elimination of positions and the personnel request is decreased by \$0.5 million and 10 positions, bringing the total request to \$8.2 million for 116 positions. The expenditure request of \$31.8 million is \$3.5 million or 10 percent below the fiscal year 1993 level.

The Sergeant-at-Arms initiated major restructuring in late fiscal year 1992 and early fiscal year 1993 to consolidate financial operations and to focus the Computer Center more clearly on information processing and user support. Consequently, 75 positions were transferred from the Center to other departments within the SAA organization. This change in structure is allowing Computer Center staff resources to be redeployed supporting both current mission-critical systems and emerging new ones. Concurrently, the Center is expanding the role of contract support vendors where such services can be acquired competitively. Successfully implementing these

goals is allowing the Center to remain at existing staff levels while providing enhanced support for Senate information systems.

The largest sub-program expense requests for the Center are as follows:

<i>Subprogram</i>	<i>Total Request</i>
Mail Management	\$6,655,000
Member Office Systems	6,558,000
Senate-wide System Services	5,820,000
Officer Systems	3,125,000
Applications Development	2,349,000
Commercial Information Services	2,036,000
Central Operations	1,513,000

The decrease in the expenditure request is attributable to the discontinuation of several fiscal year 1993 special requests; to the buyout of our mainframe lease last year; and to deferring further upgrades to the mainframe. The Center anticipates price escalation of goods and services for on-going programs will increase by \$248,000 in fiscal year 1994. Significant other savings result from decreased system maintenance costs derived from the replacement of costly minicomputer systems with PC-based LAN's. However, requirements for several new programs require an offset of the reduced expenditures from non-continuing fiscal year 1993 initiatives.

Initiatives

Three major initiatives are planned for fiscal year 1994. The first initiative, supporting new software and system purchases for Senate officers, entails a request for an additional \$910,000. Of particular note in this area are plans by the Secretary of the Senate for a new Financial Management System to be implemented over several years.

The second initiative, redesign and re-engineering outdated software code and obsolete applications, involves a request for an additional \$1,350,000. Problems with support and efficiency of such systems have long been recognized. While efforts to merely "patch" such services could be continued at a lower expenditure, this investment will lessen long-term costs while improving performance.

The third initiative, to provide contract support for facilities management of the Constituent Services System, involves a request for an additional \$1,135,000. It is anticipated this increase will be offset by a \$505,000 reduction in other mail management expenditures from program initiatives planned in fiscal year 1993.

Cost Management

Ongoing migration from minicomputers to PC-based LAN's represents the major cost management program reflected in the fiscal year 1994 budget request. System maintenance expenditures are expected to decrease by \$186,000 and vendor-provided user-support will decrease by \$275,000. Additional reductions can be anticipated, as this migration continues.

Mainframe software purchases, another significant cost management program for fiscal year 1994, are \$1,270,000 below the fiscal year 1993 level. Although primarily attributable to the one-time purchase of a replacement Expense Control System in fiscal year 1993, reductions in the fiscal year 1994 requests are below even the fiscal year 1992 levels. The Center's mainframe system upgrade of two years ago will continue to hold down software expenditures that would have otherwise been necessary.

The Computer Center continues to realize cost management in its ongoing competitive acquisition of goods and services.

Office Automation Systems

During the 102nd Congress, the SCC installed microcomputers and Local Area Networks (LAN's) in Senate offices at an aggressive pace. Most of the minicomputer systems installed in the 1980's are being replaced with PC-based LAN's. The installation of new LAN's is being accelerated further during the 103rd Congress and it is anticipated the remaining minicomputers will be phased out by the end of the second session.

At present, 60 new LAN's are scheduled for installation by mid-1993. We anticipate more than 240 Senate LAN's will be operational by the end of this year. New LAN's are being installed at a rate of 10 to 18 per month, a dramatic increase over the average rate of 4 to 5 LAN installations per month during the last two years. All Senate committees which do not already have a LAN are in the queue for installation of a LAN by mid-1993 and only 19 Senators' offices have not been scheduled for a LAN by mid-year. At the current rate of installations, there will be approxi-

mately 7,000 modern microcomputers installed by the end of 1993, approaching the approximate total of 7,500 full-time Senate employees.

OA systems	Beginning of 102d Congress	End of 102d Congress	End of May 1993
Honeywell	20	7
Data General	43	23	16
Prime	60	35	25
LAN's	78	157	203
Microcomputers	3,900	6,000	6,600

New Mail Applications

As a result of a Request For Information (RFI) conducted by the Sergeant at Arms for LAN-based correspondence management applications, two new services are now available to Senate offices from InterAmerica (IA) and Intelligent Solutions (ISI). Both IA's and ISI's applications integrate a dedicated mail server within a standard Senate local area network configuration. Initial testing of the services indicate IA's application is best suited to relatively small constituent databases of one million or fewer records, while ISI's application offers sufficient flexibility to accommodate larger states' projected databases. These new applications offer substantial improvements in the way Senators' offices are able to manage constituent mail services.

Acquisition of a New PC Hardware and Software Support Contract

The Sergeant at Arms issued a Request for Proposals for support of LAN's, microcomputers, and associated peripherals in August 1991. An award was made in October 1992. The contract provides for hotline/help desk services and onsite installation, maintenance, and support for LAN and microcomputer-based hardware and software in Senate offices located in Washington, D.C. and nationwide. The award was made to a single vendor and will be in effect for up to five years at the Senate's discretion. The award replaces services previously provided by several vendors in conjunction with the SCC, and ensures more coordinated and effective support for Senate offices.

Review and Evaluation of New Technologies

The Computer Center has established testing laboratories and conducted and/or participated in the evaluation, testing and certification of a wide variety of hardware and software including the Senate Data Communications Network (SDCN), mail management services, the Senate Fiber Network (SFN) including access to Internet, CAPNET, LAN-to-LAN communication, and direct access to the SCC mainframe, Microsoft Windows and Microsoft LAN Manager, new microcomputer operating systems, CD-ROM technology, new and upgraded 486 desktop PCs, laptops and upgraded local area network (LAN) file servers. In addition to these products, the Computer Center reviewed hardware and software to assist the Senate in complying with the Americans with Disabilities Act.

Several new initiatives are planned during the first session, including evaluation of 586 systems, DOS 6.0, Windows NT, Windows for Workgroups, Windows workstations, optical disks, color printers, pen laptop systems, multimedia, imaging systems, forms routing, graphics and presentation software, and groupware.

Revision of the Commercial Information Services (CIS) Program

Computer Center and Sergeant at Arms staff worked during 1992 to streamline operations of this program, while continuing to offer Senate offices a wide selection of services to meet varying requirements. Program-specific, centrally-executed contracts were established with the three full-service providers in the CIS program. Participating offices were all converted to fiscal-year-based subscription periods, securing expanded services from some vendors and consolidating complicated accounting procedures required in the past due to cross-year and intermittently-invoiced subscriptions. The Office of the Vice President was approved for inclusion in the program, bringing the number of participating CIS offices to 113. Senate personnel achieved greater oversight and coordination of program vendors' activities, while encouraging more active use of these services among Senate staff.

Ongoing User Support Activities

The Computer Center trained more than 1,600 staff in its Capitol Hill classes during 1992, with approximately 200 trained in vendor-provided classes. The SCC trained 264 staff in state classes. The SCC revised about 10 courses, and developed new courses for LAN training and for mail system training. We also offered dedi-

cated trainer "coaching" services for hundreds of staffers on Capitol Hill and throughout the United States. Over the past year, the number of calls received by the Computer Center's hotlines has grown from 3,000 calls each month to over 4,000 calls each month.

Development of Improved Senate Legislative Information Services

During the first session of the 102nd Congress, the Computer Center completed the development and production implementation of the initial pilot application for the LEGIS-2000 system. The mainframe application, developed using INQUIRE software, provided Senate offices with online access to the full text of bills and resolutions for both the 101st and 102nd Congresses.

During the second session of the 102nd Congress, further development of INQUIRE/Text applications for LEGIS-2000 was suspended to provide for a comprehensive review of LEGIS upgrade requirements and strategies with the Office of the Secretary. At the end of the 102nd Congress, based on the results of this review, the Computer Center and the Secretary's Office agreed on a revised strategy for upgrading the Senate's LEGIS system. The SCC and Office of the Secretary have worked in conjunction to assemble a new project aimed at completely re-engineering the official record-keeping functions of Senate LEGIS. This project is expected to be completed in the fiscal year 1995 time frame.

Relocation of Computer Center Facilities to Postal Square Building

Working closely with the Rules Committee and other Sergeant at Arms departments, the Computer Center planned and executed a successful relocation of our facilities and staff to the Postal Square Building. Planning began in January 1992, and the move was completed in November 1992. The move was accomplished in three phases. In the first phase, central processing and disk/tape storage resources were "split" to provide a contingency backup facility at Postal Square; in phase two, Computer Center staff were moved; and in phase three, central systems hardware was relocated and complete cutover to the upgraded Senate network was accomplished. With the exception of the scheduled outage during the third phase of the move, the relocation was accomplished with minimal service outages and few problems. All SCC Postal Square facilities were operational as of November 23rd.

Acquisition of a New Senate-Wide Printer Contract

In February 1991, the Sergeant at Arms issued a Request for Proposals (RFP) for office printers. The evaluation was completed in the following year, with awards made in February 1992. These contracts, providing laser and portable printers offering a wide variety of features and capacities, will be in effect for up to five years at the Senate's discretion. The contracts provide options for making new and improved printer technologies available to Senate offices in step with the marketplace. Awards were made to four vendors, ensuring availability of multiple makes and models, sources of supply, and competitive pricing throughout the life of the contract. These awards replace a single-vendor source and provide more current technology to Senate offices. During the 102nd Congress, approximately 325 printers were purchased and installed using the new printer contracts.

SENATE TELECOMMUNICATIONS

Summary

The Telecommunications Department funding request for 1994 is below the current funding level by 15.6 percent. The total request of \$26.1 million is \$4.8 million below the 1993 level of \$30.9 million. A decrease in personnel costs of \$0.25 million to \$3.5 million reflects the elimination of 5 positions. The expense request of \$22.6 million is \$4.6 million below the current funding level. This decrease is attributable to the purchase, in late 1992, of previously leased equipment for SDCN and to reductions in vendor support of SDCN as Senate staff take over integration and operation functions of the network.

Initiatives

Senate Data Communications Network.—The original intent of the SDCN contract was to have the systems integrator maintain and operate the system for the life of the contract. However, in recognition of the significant cost of maintaining the contract and of the future direction of technology, the Sergeant at Arms began to migrate SDCN responsibilities to Senate personnel in January 1993. We currently are evaluating whether additional staff will be necessary to support SDCN. Our objective is to support the project with existing personnel.

Realignment of responsibilities, specifically the integration of the Data Networking staff into the Telecommunications Department, will enable the SAA to

eliminate redundant activities. We expect that Senate staff who are displaced by this consolidation of functions will be retrained to support other aspects of the SDCN project.

State Office Long Distance Service.—We successfully renegotiated lower long distance rates for State offices in 1992. Current negotiations are expected to further reduce rates for 1994. We have recommended a reduction in this budget item of \$663,000 to reflect these events.

Cellular Phone Fees.—Although not affecting our budget directly in any significant amounts, we negotiated for lower cellular monthly service and usage charges. These lower rates and savings also accrue to the Senators who use this cellular vendor.

SENATE SERVICE DEPARTMENT

Summary

The Senate Service Department requests a decrease in personnel funding costs of \$0.25 million to reflect the elimination of 5 positions. The requested amount is \$6.5 million. This represents a 4 percent decrease in funding.

Expense funding for the Department is down by \$476,000 to \$6.4 million or a 6.9 percent decrease. This funding reduction is due to the deferral to later years of equipment purchases in most sections of the Department.

Initiatives

Inkjet Labeler.—The Service Department presently has three inkjet labeling systems which barcode franked mail for accountability and address envelopes. Use of the inkjet equipment reduces costs by eliminating the need for adhesive labels. Eliminating labels eliminates a processing step which serves to improve our productivity and reduce long-term costs. We plan to purchase three additional inkjet systems to enable us to completely eliminate paper labels.

Mail sorter.—The existing Jet Star sorting equipment has enabled the Service Department to save postage by presorting first class mail. In 1992, postage savings from presorting mail amounted to \$32,000.

The capacity of the equipment limits our ability to serve all Senate offices effectively. We are researching an upgrade to the Jet Star which would enable us to achieve annual postage of more than \$100,000 by presorting all franked mail leaving the Senate. We believe that this equipment would pay for itself within two years of installation.

Implementation of the Senate Data Communications Network (SDCN)

The SCC successfully implemented the new SDCN network to over 390 Senators' state offices and all the D.C. offices. With this new network, offices are able to send information to and from the state offices at a much faster communications rate than was previously available. The Computer Center implemented this massive network for all locations in 10 months. The Center is now working with other Sergeant at Arms departments to revisit communications requirements for the Senate offices and will be recommending technology improvements to the Senate's communications network.

INTRODUCTION OF ASSOCIATES

Ms. POPE. Thank you, Mr. Chairman.

I think all of you know Bob Bean, who is the Deputy Sergeant at Arms.

This is Christopher Dey. He started with my staff in June, as chief financial officer. He has an MBA and is a CPA. I was very lucky to lure him away from Merrill Lynch.

Senator REID. What else is wrong with him? [Laughter.]

Ms. POPE. There is nothing wrong with him, I'm very pleased to report.

We have Russell Jackson. You all know Russell, who is director of the service department; and Bob McCormick, who is director of telecommunications; and Mike Bartell, who is director of the computer center.

PERSONNEL REDUCTION

You have already summarized my testimony. As you stated, I'm asking for a reduction of \$9 million compared to last year's request. That is approximately \$1 million in salaries and \$8 million in expenses; \$1 million in salaries would include a reduction in personnel of 20 people.

Senator REID. How are you going to accomplish that? What effect will that have on your ability to render services to the people of this country and the Senate?

Ms. POPE. I don't believe it will have any effect. Some, but not all, of the reductions will be through attrition. We will do some reorganizing, but it's reorganizing that has been planned. So I don't believe it will have any effect.

It's my intention to come back next year with a request for another 2 percent and 20 position reduction, which would meet the 4-percent reduction that the leadership has discussed.

Senator REID. The significant amount that you're reducing in nonpersonnel areas will help us with other areas in the Senate; as you heard from Mr. Stewart, his budget is 90 percent personnel and only have a little bit in administrative expenses. So your proposed \$8 million cut will be a big help to us.

I guess the question that comes to my mind is—this is certainly not, in any way, meant to embarrass anyone—does this mean you were overstaffed before? How are you able to do this?

Ms. POPE. The obvious answer is yes. If I can reduce by 20 people and not reduce services, then I was overstaffed. In addition, the needs of the Senate have changed.

We have, for example, moved our data communications group from the computer center to the telecommunications department. There's probably some overlap in personnel there. We are emphasizing local area networks as opposed to minicomputers and mainframes. So we need to do some reorganization in the computer center.

We really are looking very closely at our personnel needs, and I think that I can make additional reductions.

COMPUTER CENTER STRATEGIC PLAN

Senator REID. As I recall last year about this time, you were reviewing the recommendations of a consultant with respect to the development of a strategic plan for the computer center.

Are you in a position to now outline to me the elements of the strategic plan?

Ms. POPE. The major changes have been put in place as a result of the recommendations of the consultant. It was recommended that we move the data communications to telecommunications, that we change the emphasis for our computers, and move from mainframe-based systems to ones that operate on local area networks. The mail system that we are developing for the Senate would move from one that is intended to work on a mainframe to one that would work on local area networks.

That accomplishes several things. First, it allows Members to have their computer information and data within their offices, for the most part. Also and just as important it won't overwhelm the

mainframe. One of my reductions in expenses this year was a projected expense for upgrading the mainframe. That's not necessary now because we are moving the mail systems from the mainframe to the local area networks.

EXPENSE ACCOUNT

Senator REID. For your expense account, you are now requesting \$74.9 million, which we already said is \$8 million below current levels. The fiscal 1993 appropriation for this account was itself a reduction of almost \$6 million from the 1992 level. So, over a 2-year period, you have reduced this account by almost \$14 million. That's a tremendous amount of money. This is as much as the Secretary's whole budget.

You indicated that you even think next year you can reduce it, did you say, 2 percent?

Ms. POPE. Two percent for personnel.

Senator REID. This would be in addition to that, then; right?

Ms. POPE. We are hoping next year we can reduce expenses again. Although I don't know if we can keep up the pace. At some point we would have to reduce services. So far, we haven't had to.

Senator REID. My point with this is that I think you should remind us next year when I'm sure we will be harping on you to cut, cut, cut, that you should keep in mind the significant cuts that you have already taken.

Ms. POPE. I'm sure I will remind you of that, Mr. Chairman.

In all honesty, I will remind you and members of the committee of that, on the floor, if there is an amendment, to cut across the board in any way, it would be difficult for me to do that this year.

Senator REID. You may have been in the room when I said this, but I am really opposed to across-the-board cuts. We worked very hard in this subcommittee to give the various agencies and departments that come before us what they need. We believe having an across-the-board cut is wrong. If there is money that can be cut, we owe a responsibility to the rest of the Senate to do it here. So anyway, you have my assurance that I personally, although I'm only one of 100, will oppose that.

TELECOMMUNICATIONS DEPARTMENT

With the cost of most services increasing, how can you explain the reduction in the telecommunications department of over \$4.5 million at the 1993 level?

Ms. POPE. I will turn to Bob McCormick for the details, but my understanding is that some equipment which was leased we have purchased, and some of the maintenance that was done we have brought in-house.

Mr. MCCORMICK. Mr. Chairman, thank you.

That is correct. We reduced \$1.8 million on management, and brought in-house the management of SDCN by our own people. The datacom rentals were reduced by \$1.7 million. This was from the purchase buyout using 1992 funds.

We reduced by \$900,000 in long distance and local service due to better rates on long distance and cutting down on message units.

Senator REID. Excellent. The Senate has invested a lot of money over the past several years in acquiring more advanced data com-

munications network. We talked about it a little bit this morning, but I know that you are projecting a decrease in the project management costs at almost 50 percent as installation is near its completion.

What other funds are included in your request for the Senate data communications network, and by what date do you think this network will be able to be fully implemented?

Ms. POPE. This is the SDCN project. It is fully implemented.

Senator REID. When did it become operative?

Mr. MCCORMICK. In September 1992, it was implemented totally throughout the States and Washington. We are now fine-tuning it to make it a better system and get the rates down a little bit further.

The other funds in the budget for us are approximately \$3 million for lines in the State offices to connect to Washington, long distance costs, and \$765,000 for rentals for datacom. This rental cost would be deleted in the 1995 budget.

Senator REID. Why is that?

Mr. MCCORMICK. The rentals will be bought out.

The \$520,000 is for maintenance for D.C. offices and State offices, but mostly State offices. So, if you have a problem, you dispatch a local person to maintain it. We are trying to reduce this cost. I would hope by next year that we can do so.

WIDE AREA NETWORK

Senator REID. Last year, Ms. Pope, you indicated that your evaluation of a wide area network for the Senate State offices was awaiting the implementation of this SDCN.

With regard to the evaluation of the feasibility, is that also completed?

Mr. MCCORMICK. The network was installed in 1992. We are now looking at the technology and cost savings.

Senator REID. That was part of your answer that you previously gave?

Mr. MCCORMICK. Yes.

Senator REID. You indicated the magnitude of the savings.

Ms. POPE. Mr. Chairman, if I might.

Senator REID. Sure.

Ms. POPE. The wide area network and SDCN are the same thing. Presently we have two goals. One is using SDCN to allow the offices in Washington to communicate with State offices. The other is a system that will allow interconnectivity among offices on the Hill so that a personal office can communicate with committee offices, or perhaps the House, regarding different legislative functions. We are almost ready to implement this, as well.

SENATE MAIL MANAGEMENT SYSTEM

Senator REID. One of the areas that I'm sure we have been able to effectuate some savings has been in the area of mail.

Now, from the time that I came here to the Senate to now, the amount of mail that goes out of here is less by a significant margin. For example, it's rare that a Senator sends a newsletter. In fact, if a Senator sends a newsletter, he better use some of his other

moneys because there is not enough money for each Senator to send one newsletter. It uses up your entire franking budget.

So the Senate mail system, which is a replacement of the old and largely outmoded correspondence management system, has been under development for many years and represents a big investment. Your request includes about \$6.5 million for mail management.

Would you, in the light of the statement I gave, tell us a little bit about the Senate mail management system.

Ms. POPE. We are installing two systems now. One developed by a company called InterAmerica that handles data base sizes for smaller to medium States, and one developed by Intelligent Solutions, Inc., which accommodates data bases large enough to handle States like California.

Those mail systems can be used both to respond to constituents, and also handle academy appointments, scheduling, and casework.

I don't know if Mike wants to expand on that.

Mr. BARTELL. The mail has been a central issue for us for the last 1½ years. The goal has been to modernize the mail systems provided to offices, to give them choices, but also to reduce costs. I think we are beginning to see some return in those areas. We have two systems now, we hope to have a third out very soon and begin to slowly migrate away from the 15-year-old CMS/CSS system.

Senator REID. When do you expect that to be?

Mr. BARTELL. We expect to have 20-some offices on line by the end of this fiscal year, and a total of 84 offices fully cut over to in-office mail systems by the end of fiscal 1994. At that point, I think we will be able to move away completely from our existing vendor, which is currently costing the Senate about \$3.8 million per year.

Ms. POPE. \$3.8 million, the number you quoted, is for the old mail system that we are phasing out.

Senator REID. Who will make the determination as to what office is doing that? The Rules Committee?

Mr. BARTELL. The Rules Committee has established a queuing process trying to take care of the new Senators first, followed, in turn, by class.

Senator MACK. Can you give me a sense of what these new services will allow us to accomplish in our offices and what kind of savings that might bring about?

Mr. BARTELL. The initial upfront cost is greater due to an acquisition cost of hardware and software. Over time the maintenance costs are substantially lower than what we are currently paying our existing vendor without much current choice to offer offices.

More importantly, it offers offices greater functionality. Each system that we expect to be bought for offices is different. They provide standard mail functions, and then start differing in terms of functionality.

Senator MACK. Functionality meaning?

Mr. BARTELL. The steps a mail staffer would have to go through in order to do quick name and entry off-line as opposed to tying up the main data base. Having a single data base is important and has been a problem in all of our offices with the old mail system. Now we will have a single data base on-line in the office under the

care of the office itself, and we are working hard to try to provide central printing facilities. I know that's an issue for some of you here, and we are working on that right now. We are making progress. Our focus is on: functionality, modern system features, and cost savings.

PAGE HOUSING

Senator REID. To the members of the subcommittee, we have been in an ongoing problem for several years now of where to keep our pages. We have been sharing space with the House, and they have told us a long time ago that we weren't welcome, and we have been trying to make some arrangements, which we have done.

Would you explain to the committee what is taking place with the money for acquisition and renovation for property for use as a dormitory for the Senate pages?

Ms. POPE. We have identified two townhouses on Capitol Hill that are very close to the Capitol and would be secure for young people. We have made an offer to the owners and are in the process of negotiating with them on the price. We authorized funding but haven't yet purchased the buildings. We would like to be finished by the end of this year. However, I'm not sure we are going to make it.

Senator REID. In the meantime, will the House allow us to stay there?

Ms. POPE. Yes; as long as we are showing progress.

POSTAL SQUARE FACILITIES

Senator REID. You recently moved into the new facilities at Postal Square. Tell us a little bit about that. What parts of the organization occupied that space, and will any savings or operational efficiencies accrue from the move?

Ms. POPE. We have the attic and parts of the basement in that building.

Senator REID. Who do you have there?

Ms. POPE. On the lowest floor we have the service department that does all of our printing, and the cabinet shop. In the attic, we have the computer center and the photography studio.

It's been very helpful to the computer center. They were in space on North Capitol Street that was barely inhabitable, in my opinion.

Senator REID. I have a number of other questions that I'm going to submit to you in writing, and I would appreciate you responding to these at the earliest possible date.

Senator Mack?

STAFF REDUCTION

Senator MACK. I really don't have a series of questions other than just to follow up on the initial discussion; that is, with the reduction of staff by 20.

Does that translate to a net negative employment for the Federal Government? Or the point that I'm making, is there a shifting of those people to other areas of Government?

Ms. POPE. No.

Senator MACK. This is flat?

Ms. POPE. That's an honest cut.

Senator MACK. Thank you for your directness. That ends my questions.

Senator REID. Senator Murray?

Senator MURRAY. I think, Mr. Chairman, let me first thank you, Martha and Bob, for getting us into our temporary office and getting us up and running. We appreciate all you have done to help us.

Senator REID. We need to talk about that. When I came new 6 years ago, it was June before I got moved.

Senator MURRAY. I'm still in a temporary office.

Senator REID. Oh, OK. That makes me feel better.

Senator MURRAY. I want to commend you for the difficult task you have of overseeing the computer center, and I was impressed by how fast you did get us up and running on the computer system.

LAN SYSTEM

I'm curious how you chose the LAN system that you're using. Do you go out to bid for that? How did you come about to choose that system?

Ms. POPE. I'm going to ask Mike to respond to that because he will give you more detail.

Mr. BARTELL. I assume you are referring to the mail system, which is built on a standard local area network. We did issue a request for information to industry and published that solicitation in the Commerce Business Daily. We went through the responses that were submitted and made a selection based on criteria for a mail system and input we had from the offices. We had selected two products.

Ms. POPE. It is my understanding that there is only one company that provides the mail system for a State as large as California, and that's Quorum, so we had very little choice.

ADDITIONAL COMMITTEE QUESTIONS

Senator MURRAY. Technology is ever-changing, so who knows what is going to happen in 2 or 3 years, but I am impressed with the system at this point.

That's all I have.

Senator REID. Thank you.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

Question. Last year, Ms. Alter told us that you were working with the Secretary's Office on both short-term and long-term plans for Legis 2000 which will replace the current Legislative Information Systems in the Senate.

Are you now in a position to describe what the functional characteristics of this new system will be?

What is your short-term target date for the first phase of system implementation? And what are your long-term plans?

Answer. During the second session of the 102nd Congress, further development of INQUIRE/Text applications for LEGIS-2000 was suspended to provide for a comprehensive review of LEGIS upgrade requirements and strategies with the Office of the Secretary. At the end of the 102nd Congress, based on the results of this review, the Computer Center and the Secretary's Office agreed on a revised strategy for upgrading the Senate's LEGIS system.

The SCC and Office of the Secretary have worked in conjunction to assemble a new project aimed at completely re-engineering the official record-keeping functions of Senate LEGIS. When this project is completed, expected in the fiscal year 1995 timeframe, all online data entry and reporting functions and the LEGIS databases will reside on LAN servers rather than the Senate mainframe computers. As part of the effort, we plan to provide online electronic data exchange with the House of Representatives and the Library of Congress. We expect that this will improve the timeliness and accuracy of the information in LEGIS files. We will phase the delivery of new services throughout the life-cycle of this project. We plan to continue to provide all Senate offices with online access to legislative status information. In conjunction with the down-sizing of the official legislative record keeping functions, we expect to begin providing this service in a manner that is integrated with the various desk top computing environments in use at the Senate.

MAIL APPLICATION SERVICES

Question. What is the status of providing mail application services to Senate offices?

Answer. As a result of a Request For Information (RFI) conducted by the Sergeant at Arms for LAN-based correspondence management applications, two new services are now available to Senate offices from InterAmerica (IA) and Intelligent Solutions (ISI). Both IA's and ISI's applications integrate a dedicated mail server within a standard Senate local area network configuration. Initial testing of the services indicates IA's application is best suited to relatively small to midsize constituent databases, while ISI's application offers sufficient flexibility to accommodate larger states' projected databases.

Question. What will be the cost of providing these additional services to answer constituent mail, and what additional benefits will be derived in return?

Answer. Both Intelligent Solutions Inc. (ISI) and InterAmerica (IA) indicate they can convert two offices per month to their offerings. Since installation started in January, these cost estimates cover nine months of fiscal year 1993.

During fiscal year 1993, the SCC expects to install the ISI application in up to 18 offices for a total cost of \$3,409,000. The SCC also expects to install the IA application in up to 18 offices for a total cost of \$1,107,000. In addition to the offices moving to these new mail applications, the SCC will also be maintaining the existing mail service, Constituent Services System (CSS), for a total fiscal year 1993 cost of \$3,800,000 and existing non-CSS mail services for \$212,000. For fiscal year 1993 total, the SCC plans to spend \$8,528,000 on constituent mail services.

The Computer Center anticipates spending approximately \$4,867,000 in fiscal year 1994 for initial mail start-up costs associated with offering these applications to an additional 48 LAN-based systems. In addition to these systems, the Center will be spending a total of \$2,021,000 in fiscal year 1994 for the system maintenance for the 84 offices using ISI and IA. During the period of transition to these new mail systems, we will continue to incur the costs to maintain the existing CSS service at a reduced level of \$3,200,000. Total mail systems and support expenditures for maintenance and systems installations is projected to be \$10,088,000 in fiscal year 1994. Of this amount, a majority of the costs are for the acquisition of hardware and software for the new systems. Once the systems are installed, the Computer Center expects to see the overall costs to support mail applications decrease as the ongoing costs will be for the annual maintenance for the systems.

The new mail applications provide a single, consolidated constituent database, which is of benefit to the Senators' offices. In addition to one constituent database, the system is contained within the office, which allows for more control and management of the information. Because these are newer applications, they are easier to use and maintain than the previous mail systems. With each of the new mail applications, the offices have access to a more integrated constituent database, which offers more functions to manage constituent information. In general, the Senators' offices will be able to respond more expeditiously and efficiently to constituent inquiries with the new mail applications.

Question. What are the long-term plans for replacing the much-maligned existing mail system operation?

Answer. Since 1977, the Senate has used a vendor-supplied mail system (CSS) to provide mail support to the Senate. The total cost of the contract for the 82 member offices and various committees using CSS during fiscal year 1993 is approximately \$3.8 million.

A Disaster Recovery and Phase Out Plan is incorporated into the fiscal year 1993 contract. In the first option year (fiscal year 1994) of the contract, we have the option of turning the Disaster Recovery facility into a production facility if the number

of member offices using the system is 50 or fewer. We would be required to contract with the current vendor for facilities management to cover a period of two years at an estimated cost of \$1.7 million a year.

Question. What is the current status of the Senate Mail System?

Answer. For the last year, the Senate Mail System (SMS) has been operational in three Senators' offices. Staff from these offices indicate to the Computer Center they are pleased with SMS's functionality and the potential for improving responsiveness to constituents as a result of one consolidated database for constituent records.

While meeting functional requirements in an office, we also found that SMS, as developed, had raised a number of technical issues that could not be easily solved and needed close scrutiny before we could continue to offer the system to additional Senate offices. A thorough review of the system was undertaken and we plan to move the system from the mainframe to a LAN environment, which is in keeping with the strategic direction for automation in the Senate.

MAINFRAME APPLICATIONS

Question. With technology migrating to microcomputers and LAN's, what is the use for the Senate's central, expensive, mainframe computer?

Answer. Similar to many Federal agencies, we see the role of the mainframe evolving beyond its current role as a central host computer. The mainframe will continue to play a vital role as the platform for large, mission-critical applications, such as financial management and payroll. For example, by the end of fiscal 1993, the Sergeant at Arms will have installed a new financial system on the mainframe. In addition, the mainframe will be used as a server for new client/server applications and will be integrated with Senate offices' local area networks (LAN's). During the next two years, we envision using the mainframe as a "back-up" site for other legislative branch agencies in the event of an emergency.

Currently, the Senate Fiber Network (SFN) is being tested for access to central services provided by the mainframe. Once all testing is complete and any additional hardware procured, offices will be able to use the SFN to access not only the central applications on the mainframe, such as Legis and the Newswires. In addition, the mainframe can be used through the SFN as a central service site for backup, storage, and eventually automated software distribution for the office LAN's.

GARTNER GROUP

Question. As you know, the Committee has not always been happy with the Computer Center's cost, size and performance. I have some understanding of their difficulties, however, when I consider all their rather demanding customers and the frequent changes in top management, e.g. the Sergeant at Arms. One of the manifestations of those changes has been a number of consultant studies on Computer Center operations, the most recent of which was the 1992 Gartner Group study. What initiatives have been undertaken in response to that study and how have they related in improved services and/or reduced costs?

Answer. The Gartner Group presented the results of its study of the Computer Center in May, 1992. A total of 76 recommendations were made in the areas of measurement processes, technology architecture, application development environment, major projects, support services, and staff training. The center has implemented many of these recommendations and others are currently under review.

Since the study, the Computer Center has undergone a complete reorganization. The Computer Center staffing level has been reduced by almost 30 percent. All service areas have been either realigned or refocused. Other functions have been consolidated into other SAA departments with consistent charters. These changes already have resulted in greatly improved and streamlined services. Another initiative undertaken is an accelerated effort to replace minicomputer technologies with local area networks in all Senate offices as quickly as possible. The result of this increased effort will provide substantial cost savings to the Senate offices. Also, this increased effort will provide substantial cost savings to the Senate in terms of maintenance as well as provide improved inter-office and inter-agency communication services through a standard office automation platform. Other improvements underway, as a result of the study, include archiving older applications that have been a significant maintenance burden on staff resources. Concurrent with this action, the Center is actively retraining staff in the use of modern PC and LAN applications development.

Still other recommendations from the study that the Center has addressed that will further improve services are the replacement of the Help Desk problem management/tracking system, the use of customer satisfaction survey cards, implement-

ing strict support vendor reporting requirements, the development of a comprehensive skills inventory for all staff, and an on-going four-year Senate automation planning effort.

TELECOMMUNICATIONS

Question. Last year we discussed your efforts to control the costs associated with time, weather, and local information calls from Senate offices.

Did you send the letter to Senate offices requesting that they be alert to such cost?

Answer. In March 1991, I sent a letter to Senators' offices regarding these costs, as I had indicated to this Committee I would do during the hearing on our fiscal year 1992 Budget Request. Shortly after last year's hearing, we worked with the telephone company (C&P) to develop a particular "Network Class of Service" that prevents a Senate telephone from being able to make time, weather and local directory assistance calls. We advised office managers of this capability and encouraged them to request it for as many telephones in their office as possible.

Question. Have you achieved any savings?

Answer. The blocking capability, in conjunction with our including local directory assistance calls on each office's bill by calling number, has enabled us to realize savings of 43 percent on message unit costs and 5 percent in local directory assistance charges in fiscal year 1992.

Time and Weather calls are among those local calls for which a message unit cost of \$0.067 per call is incurred. A 43 percent saving in message unit costs was realized from fiscal year 1991 to fiscal year 1992. Dedicated circuits (T-1's) from the Senate to other frequently called government entities (e.g., House of Representatives, OTA, Library of Congress, GPO, GAO, WITS) eliminate the message unit charge for calls going over these circuits.

Local Directory Assistance costs decreased from \$75,428 in fiscal year 1991 to \$71,556 in fiscal year 1992, a 5 percent saving. Local directory assistance call charges appear on Senators' office bills. Local directory assistance calls are charged back to Committees and support groups.

Question. Are there other opportunities for realizing administrative and operational efficiencies that you would like to call to our attention with respect to Senate offices?

Answer. Yes, there are several other opportunities for realizing efficiencies in the area of voice and data telecommunications for which policies to implement these savings are recommended.

Rules Committee allocations of equipment and services provided by the Sergeant at Arms are based on the number of permanent, full-time Senate staff. While offices readily request telecommunications equipment and services for a new staff person, there is no reliable mechanism in place for prompt notification to us when staff go off Senate payroll. This prompt notification can be achieved and I will work closely with the Secretary of the Senate to access a monthly report of staff by name, office, and location (Washington, D.C. or state) removed from the Senate payroll.

Savings have been realized in message unit costs (specifically calls to time and weather) and costs for calls to directory assistance by charging back Committees and support groups on their monthly telephone bills. Also, beginning with the monthly bill for December 1991 telephone usage, calls to time, weather, and directory assistance were itemized against each individual telephone and printed on each Senator's bill. Simply including this information on the bills resulted in savings due to office managers' requests that telephones in their offices be restricted from the ability to dial these calls. It is probable that further savings could be achieved by charging back Senators' office accounts for time, weather, and local and long distance directory assistance calls.

At present a computer using SDCN can maintain the long distance connection without activity for 60 minutes before the call is disconnected. To achieve savings in SDCN long distance carrier charges incurred by such inactive users: decrease the time out period from 60 minutes to 10 minutes, and monitor the traffic flow to verify authentic usage.

The Telecommunications Department is reviewing its charge back policy for additional standard and non-standard equipment in preparation for recommending a policy change to the Senate Rules Committee to bring data telecommunications in line with voice authorization and charge back policies.

Question. The initial funding request for the Senate Data Communications Network (SDCN) identified this as a ten-year project. Where are we on that schedule? What are the project's total costs and how much has been expended to date?

How many positions have been transferred from the Computer Center to Telecommunications to support the SDCN work?

Answer. Presently the Senate is in year 3 of a 10-year contract, the original intent of which was for the vendor, PRC Inc., to manage and operate the network for the duration of the contract. The fully allocated dollar value for the operations and management over the 10-year period was estimated to be \$89 million. To date, \$30.2 million has been spent on the SDCN project for: design, installation, testing, integration with existing systems, network management, operation, and equipment buy out.

The integration and merger of the data networking responsibilities into the Senate Telecommunications Department included the transfer of 14 staff members who have SDCN management as a collateral duty.

The Telecommunications Department has been evaluating all facets of the SDCN, particularly cost and reliability, since the responsibility for data networking was transferred January 1, 1993. Although the evaluation is by no means complete, Telecommunications has already taken steps to reduce costs and improve network reliability.

For example, by migrating the network management and operations as collateral duties to Senate staff, we have been able to take advantage of options in the contract that allow us to reduce the management role of the vendor. These changes, which took place March 31, 1993, will save the Senate approximately \$270,000 for the remainder of the fiscal year, and \$540,000 per year for the remaining term of the contract. Telecommunications did not, nor do they intend to, increase the size of the staff to manage the SDCN. All tasks will be handled as collateral duties by existing staff.

A further reduction in the vendor staffing levels is scheduled to occur June 30, 1993. Again, the tasks and responsibilities that heretofore were performed by the vendor, will now be handled as collateral duties by the Telecommunications operations staff and engineering section. This reduction will result in a projected savings of \$414,505 for the balance of the fiscal year, and \$1,658,020 per year for the remaining term of the contract.

In addition to reductions in vendor staffing and resulting savings to the Senate, Telecommunications is vigorously pursuing reductions in the rates that are currently being paid to the long distance carrier that is carrying the data traffic for SDCN. There is a huge disparity between what the Senate is paying per minute for voice traffic compared to what we are currently paying for SDCN data traffic.

Telecommunications is also reviewing other carrier charges that either seem excessive or are not warranted due to the lack of traffic emanating from the State Offices.

The so-called "hub offices" (one per Senator) each have a dedicated 19.2 circuit that is used to access the X.25 network. The Senate is currently paying a fixed rate of \$1,300 per month/per circuit plus packet charges. We are currently looking at other technologies that can provide improved service at a substantial cost reduction. One technology that we are currently testing is frame relay. Preliminary indications are that we can increase the bandwidth provided to the Senate office by a factor of three, while decreasing the recurring fixed cost by \$900 per month.

As mentioned previously, some of the "hub offices" who supported using the 19.2 circuits are not generating enough traffic to warrant the circuit. The Telecommunications Department can, and will, support these offices using much less expensive dial-up lines. Based on current traffic volumes, this modification to the network would save the Senate \$1,300 per month, per converted office.

SERVICE DEPARTMENT

Question. Is the Service Department still sorting mail that leaves the Senate?

Answer. Yes. The Senate Committee on Rules and Administration mandates that all franked mail be processed through the sorter in the Service Department for accountability purposes. We expect to process 8 to 10 million pieces of mail in fiscal year 1993.

Question. Will the implementation of the Senate Mail System and/or LAN based mail systems in small state offices reduce this workload?

Answer. No. All mailings must still be processed through the Service Department for accountability purposes, and, for application of some discounted rates. The Service Department is in the process of upgrading the mail sorter capabilities to include all franked mailings and to receive some discount rates. We expect this equipment to pay for itself through reduced postage costs within two years.

Question. How much has the demand for visual aids increased?

Answer. In 1985, the Service Department produced 250 charts for the Senate. Over the next several years, the total amount of charts produced per year steadily increased.

Year	Amount produced	Percent (increase/decrease)
1986-87	2,200	780
1987-88	2,000	(9)
1988-89	2,650	32
1989-90	3,450	30
1990-91	4,050	17
1991-92	4,416	9

Question. What are the costs associated with these increases?

Answer. Due to the steady increase in demand for chart production, additional equipment to handle the increased volume and meet requested deadlines is under consideration.

Question. Do you have any system for rationing access to these services and controlling costs?

Answer. Currently the offices are limited to two different size charts: 24 x 30 and 36 x 40 inches. There is no limit on the number of charts the office can request.

Question. What growth in workload in this area do you project for the future?

Answer. As of February 28, 1993, the Service Department has produced 877 charts for the year. This is an increase of 60 charts over the same period last year. If this trend continues, the charts produced for 1993 will surpass 4,776. 1993 was also a period when the Senate was in recess due to the November elections; therefore this figure could be low. The average yearly increase in chart production has been 22.3 percent since 1988.



OFFICE OF TECHNOLOGY ASSESSMENT

STATEMENTS OF:

HON. ORRIN G. HATCH, U.S. SENATOR FROM UTAH, AND MEMBER,
TECHNOLOGY ASSESSMENT BOARD

ROGER HERDMAN, ACTING DIRECTOR

HON. EDWARD M. KENNEDY, U.S. SENATOR FROM MASSACHU-
SETTS, AND CHAIRMAN, TECHNOLOGY ASSESSMENT BOARD

ACCOMPANIED BY:

JOHN ANDELIN, ASSISTANT DIRECTOR FOR SCIENCE, INFORMA-
TION, AND NATURAL RESOURCES

PETER BLAIR, ACTING ASSISTANT DIRECTOR FOR ENERGY, MATE-
RIALS, AND INTERNATIONAL SECURITY

JACK BOERTLEIN, BUDGET AND FINANCE OFFICER

BUDGET REQUEST

Senator REID. The fiscal year 1994 for OTA is \$22.9 million. This is an increase of \$1.9 million, or 9 percent, over last year's level.

I can say, Senator Hatch, this is an agency that has really done a tremendous job for the Congress. It took me a while to come to the realization that it does do different work than the General Accounting Office. The first couple of years that I presided over these hearings, I continued to ask everyone that came for OTA why we need it, and I think that would be the direction of the members of this committee today, separate and apart from me, and you might address yourself to that.

Senator HATCH. Thank you.

PREPARED STATEMENT OF SENATOR HATCH

If I could, I will just put my statement in the record and tell you that I believe that the budget request submitted by Jack Gibbons, who is now the present Director of the Office of Science and Technology Policy, is a very reasonable budget request for the 1994 fiscal year.

[The statement follows:]

STATEMENT OF SENATOR ORRIN G. HATCH

Mr. Chairman, Members of the committee, thank you for allowing me to make a few brief comments in behalf of OTA regarding its fiscal year 1994 budget.

As a member of the Technology Assessment Board of OTA, I have had the opportunity to testify in behalf of OTA on several occasions; and, in each successive instance, I have become more and more appreciative of the increasingly difficult task that the committee faces. It is not at all easy to set appropriate and practical levels of funding for many worthy agencies. I am fully aware of the fiscal constraint under which the committee must operate.

However, former OTA director, Jack Gibbons, now the President's Director of the Office of Science and Technology Policy, has submitted what I believe is a very reasonable budget request for the 1994 fiscal year. In considering the valuable service that OTA provides for Congress, I urge the committee to approve OTA's budget proposal.

I would like to share with you a few of OTA's accomplishments to illustrate the usefulness of OTA to Congress and to policy development. Since November 1991, OTA has published 53 documents ranging from health care to defense spending to the environment. To its credit, OTA is able to accomplish these many varied tasks with a total staff of only 210 employees. It is commendable that in this age of increasing bureaucracy, OTA has maintained a streamlined operation without sacrificing the quality of its work. Two very important keys to OTA's quality are the longstanding policies to maintain an unbiased approach to studying the issues that the committees in Congress request and to respond in a timely manner to those requests.

A couple of recent examples of OTA's work prove my point. First, in February 1992, OTA published "After the Cold War: Living with Lower Defense Spending". The timeliness of "After the Cold War" has been critical for Congress in its attempt to reach an appropriate level of defense spending in this new era of conversion and diminished security needs. Additionally, the objectiveness with which OTA has treated its reports to Congress has not been compromised. This quality is particularly important to us in the loyal opposition.

A second example is the report "Competing Economies: America, Europe, and the Pacific Rim", which OTA published in November 1991. "Competing Economies" has been a valuable resource to the Finance Committee, of which I am also a member, in focusing on options for developing private and public incentives and strategies to improve the competitiveness of the United States in a global economy. I commend OTA's ability to complete such a broad-based and encompassing report not only in a timely manner but also in a way that clearly disseminates very useful information.

Mr. Chairman, you know as well as I do that we are continually inundated with information. Therefore, it is crucial that the information we do choose to utilize and especially that which we chose to pay for with tax dollars, is focused, unbiased, and gives us a broad perspective from which to draw. I believe OTA accomplishes these objectives very effectively, and I hope the committee can support this organization by approving its budget request. Thank you.

VALUABLE SERVICE TO CONGRESS

Senator HATCH. We all know the valuable services that the OTA provides to the Congress. My experience in serving on the Office of Technology Assistance and the Technology Assessment Board for all those years is that they do a terrific job. They do it in about as bipartisan a way as it can be done. We place unwarranted demands on them sometimes, and yet they always come through and do a very good job.

If I could share with you just a few of OTA's accomplishments to illustrate the usefulness of OTA to the Congress and the policy of development, since November 1991, they published 53 documents ranging from health care to defense spending to the environment. And to its credit, OTA is able to accomplish all of those tasks with a total staff of only 210 employees. I think it's commendable that, in this age of increasing bureaucracy, OTA has maintained a streamlined operation without sacrificing any of the quality of their work.

UNBIASED AND TIMELY MANNER

Two important keys to OTA are the longstanding policies to maintain an unbiased approach to studying the issues that the committees and Congress request, and to respond in a timely manner to those two requests, and they have done that time after time.

Just a couple of recent examples that prove my point. First, in February 1992, OTA published "After the Cold War: Living with Lower Defense Spending." The timeliness of "After the Cold War" has been critical for Congress in an attempt to reach the appro-

priate level of defense spending in this new era of conversion of diminished security needs.

Additionally, the objectivity to which OTA has treated its reports to Congress has not been compromised. And I think that quality is particularly important coming from members of the loyal opposition, because we know it can go one way or the other, but frankly it's the high quality, and I just want to compliment them in every way.

The second example is the report on "Competing Economies: America, Europe and the Pacific Rim," which they published in November 1991. "Competing Economies" has been a valuable resource to the Finance Committee of which I'm a member, and focusing on options for developing on private and public incentives and strategies to improve the competitiveness of the United States in a global economy.

So I want to commend the OTA's ability to complete such a broad-based and encompassing report, not only in a timely manner, but in a way that clearly disseminates very useful information.

You know as I do, Mr. Chairman and other members of the committee and staff, OTA is continually inundated with requests, and we, as Members of Congress, are continually inundated with information. Therefore, it's crucial that the information we do chose to utilize, and especially that which we choose to pay for with tax dollars, is focused, unbiased, and gives us a broad perspective from which to draw.

Now, I think OTA does this very objectively and does it with a great deal of expertise and effectiveness, and I hope that the committee can support this organization by approving this budget request.

We benefit from OTA. We take our responsibilities on the Technology Assessment Board seriously. We met this morning at 8:30, and almost everybody on the Board was there. And I have to say my experience with this organization is that it more than pays its way, and it's critical to our understanding of some of the most critical issues that this country faces.

Senator REID. We are going to save our hard questions for Mr. Herdman.

Senator HATCH. I thought those would be for Senator Kennedy.

Senator REID. If we are lucky we are going to be finished before he shows up. [Laughter.]

Senator HATCH. I apologize for giving you this much and taking up your time, but it's really a great organization.

Senator REID. Senator Mack.

Senator MACK. I have one question. It's simple, but it may be tough.

We have now heard from the Office of the Secretary, Sergeant at Arms, both of whom are making reductions. Granted, probably every group that will come before us will be able to make a good case for why they should either have more or certainly shouldn't do with less. Why should we make an exception here?

Senator REID. We won't.

POTENTIAL TO SAVE BILLIONS

Senator HATCH. Even after we have taken the time.

Let me just say that this is a little bit different because here we can save billions of dollars by having the right information at our fingertips, and the whole purpose of the Technology Assessment Board and the Office of Technology Assessment is to provide us with the information that's essential to make the right decisions around here.

If we can do that in an organization that really does it in an unbiased and a decent way, intelligent, if I might say, and expert way, then we all benefit from that. And the little budget that OTA has really is justified.

So I think you are talking about saving billions of dollars by supporting the OTA in this small request that we have. It is small—it's only a few million dollars—but the rewards and the benefits that come from that could save us billions of dollars and add to the expertise of each and every one of us here in the Senate. So it's important. And I hope you can do it. If you can't, I will be the first to understand, and I do think that we have got to do everything we can to help the President to cut back.

NEED FOR QUALITY INFORMATION

But in this case, I think this is very wise to go ahead and have the information that we need to make some of these very important decisions that we make around here. The only way we can do that in a great many instances, in fact, is to have this type of quality work product that we can all rely on.

I should have brought some of the recent ones that I just picked up this morning at our Board meeting. You would be very impressed. And to the extent that you can take time and your staff takes time to read these reports, I think you will find they really cover the areas that should be covered.

Keep in mind: Each Member of Congress has the right to ask for certain studies to be done. I hate to say that too loudly, but the fact is a lot do, especially committee chairs and ranking members. And in that regard, generally, I would have to say in almost every case, there are very pertinent, very crucial, and very important studies. So I think you benefit a great deal for the little bit of extra money that they are asking.

In my experience, it's never enough money for OTA, as it is for a lot of organizations, but this is one we can turn into savings over the long run.

Senator REID. The one thing I have been impressed with since being made familiar with OTA is the bipartisan nature of the members.

Senator HATCH. It is.

Senator REID. Every year we have Senator Kennedy, Senator Stevens, and you coming and throwing the bouquets to OTA, and that's not often done, so I appreciate your being here today.

Senator HATCH. I appreciate the courtesy, and I thank the Budget Director Reischauer for his kindness, too, and I thank you for the courtesy.

Senator REID. Mr. Herdman, would you come forward?

PREPARED STATEMENT OF ROGER HERDMAN

Senator REID. Mr. Herdman, you have some big shoes to fill. Dr. Gibbons, I thought, did an outstanding job, and I'm very happy that the President and Vice President have selected him to be their Chief Science Advisor. I have met with him since he left, and he's excited about his job, and that's the way it should be.

The funding provided OTA for 1993 was at the same level as provided in 1992. What has been the impact of this freeze on OTA?

Mr. HERDMAN. Well, I have an opening statement. I'm not going to read it because I understand you are interested in brevity and moving ahead.

Senator REID. That statement will be made a part of the record. [The statement follows:]

STATEMENT OF ROGER HERDMAN

Mr. Chairman, Members of the Subcommittee, I thank you for the opportunity to appear before you today to describe the work the Office of Technology Assessment performs for the Congress. Technological capabilities will determine, in large part, whether America leads or follows other economically and scientifically powerful nations in the coming decades. With 20 years' experience, OTA has the proven ability to assist Congress in its deliberations on the Nation's future and to help link the science and technology enterprise to national goals. During fiscal year 1992, OTA delivered 52 publications to Congress, including assessment reports, background papers, and administrative documents. These studies, and the 42 TAB-approved studies and 17 special responses currently in progress, were requested by over 80 committees and subcommittees of the Congress.

The bipartisan, bicameral Technology Assessment Board (TAB) guides OTA's work with committees and shapes the agency's agenda through the assessment proposal approval process. OTA serves as a shared resource for Congress, providing nonpartisan analysis of scientific and technological issues—issues intrinsic to all important policy decisions—in a cost effective way. In the remainder of my testimony, I will illuminate the utility of OTA's work by describing our efforts in 4 areas of critical national importance: restoring the resilience and competitiveness of the U.S. economy; improving the quality of life and human health; ensuring personal, national, and international security; and enhancing environmental quality and sustainable use of natural resources.

ECONOMY

In September 1992 OTA released a report, "U.S.-Mexico Trade: Pulling Together or Apart?", that provides guidance to Congress relevant not only to the immediate question of the vote on the North American Free Trade Agreement (NAFTA) but also to the longer term management of economic integration among the United States, Mexico, and Canada. OTA found that a free trade agreement with Mexico would not automatically benefit the United States. But a trade agreement accompanied by policies to foster high-productivity U.S. strategies and create a more secure future for the less-educated portion of the U.S. workforce could strengthen the economies of the United States and Mexico.

The overriding significance of the proposed NAFTA lies in the opportunity it provides for reassessing the forces that shape long-term economic development in the United States. The key to success in managing the social and economic transformations of the coming decades lies with the institutions that frame public and private choices. OTA's work shows that decisions made by Congress and the Executive Branch, state governments, labor unions, companies small and large, formal and informal groups on the shop floor and in the executive suite will determine whether the United States succeeds in building vibrant, high-productivity industries able to compete on the basis of skills and know-how, rather than competing on low wages.

OTA's analysis suggests that the most important task for policymakers is to take concrete steps to begin a process of institutional change, steering the United States toward higher skills and more rapid productivity growth. In the report, OTA describes 3 types of policies that might help move the United States in the high-skill, high-productivity direction: (1) policies to increase worker skills and commitment; (2) policies to curb the tendencies of some U.S. employers to compete through low

wages; and (3) policies to enable employees at all levels to participate more fully in productivity improvement.

OTA lists options under each category, together with a group of North American policy options that have similar goals. In the long run, these issues of long-term industrial strategy are more fundamental than the details of transition periods and North American content requirements.

During fiscal year 1993, OTA will begin delivering the results of its assessment of "Multinational Firms and the U.S. Technology Base." The vast majority of private sector technology development and technology transfer within and among nations is conducted by multinational corporations (MNC's). This project is assessing how MNC's, both foreign and domestic, influence the U.S. economy—its technology leadership, value-added manufacturing sector, skilled labor forces, and future competitiveness. It is addressing the reasons why U.S.-based and other MNC's decide to conduct (or not to conduct) R&D and state-of-the-art manufacturing in the United States.

This assessment is examining the impact of foreign direct investment on the health of the U.S. technology and manufacturing base. It is analyzing how assembly or turnkey manufacturing operations displace, augment, or otherwise affect indigenous technology development and manufacturing. The study is also addressing the mechanisms through which MNC's transfer innovative technology from one country to another and will look into the question of whether foreign MNC's buy or finance U.S. high-technology firms to gain access to technological innovations.

Earlier OTA reports on competitiveness and the transition to a civilian economy had direct impact on the work of the 102d Congress. Two reports, "Making Things Better" and "Competing Economies", contributed to development of comprehensive legislation, the American Technology and Competitiveness Act of 1992. Another study, "After the Cold War: Living with Lower Defense Spending", was used intensively and had many impacts on the strategic framework of legislation and on specific provisions; the legislative vehicles were the Defense Authorization and Appropriations acts. Additional legislation drew upon options in OTA's report, "Worker Training: Competing in the New International Economy", to develop ways to combine training with technology transfer and industrial extension services and to establish the need for a single clearinghouse to best disseminate best practice information on training. OTA's reports on technology's role in addressing the Nation's economic problems provide an important perspective and essential technological guidance and options for policymakers.

HEALTH

OTA has addressed many facets of the perceived health care crisis. A September 1992 Background Paper, "Does Health Insurance Make a Difference?" confirmed the previously intuitive notion that having or lacking health insurance coverage is related to gaining access to health services, to the content and quality of health services used, and to the health status of the individual receiving care. This issue is important because at the same time that policymakers are becoming increasingly concerned about the numbers of Americans without health insurance, some observers question whether providing more health care by improving financial access necessarily leads to better care and improvements in individual health. OTA's review suggests that uninsured Americans may be up to 3 times more likely than privately insured individuals to experience a lower health care utilization rate, potentially inadequate health care, and adverse health outcomes. Individuals covered by publicly-funded programs such as Medicaid may be slightly better off than uninsured individuals in the sense that they are more likely to use health care services, and are half as likely as uninsured individuals to experience potentially inadequate care. Uninsured Americans are 1.3 times more likely than publicly-insured individuals to use health care services at a lower rate, and 1.5 times more likely to experience potentially inadequate care. This issue directly impacts the 15.7 percent (approximately 34 million people) of the U.S. population under age 65 that is uninsured all or part of a year and is a subject of ongoing congressional concern.

In a current project, "Prospects for Health Technology Assessment," OTA is examining the techniques for assessment of medical technologies, which has come to be viewed not only as a worthwhile undertaking but as a vital part of efforts to solve the country's health care crisis. Most people believe that the ability to determine which technologies and medical practices are effective, and which are not, will lead to better health care. The Agency for Health Care Policy and Research (AHCPR), created in 1989, has a congressional mandate to increase Federal medical technology assessment activity and to use the new knowledge to stimulate change in

medical practice. AHCPR has invested heavily in research that applies new assessment techniques.

This study is examining the new techniques and assessing the potential of these and more traditional analytical methods to affect the cost and quality of medical care that is actually provided. OTA is describing the array of existing techniques, their limitation and potential uses, and the questions to which they are most appropriately and profitably applied. OTA is also examining the validity of new techniques and how further refinement of these techniques is likely to enhance their usefulness to Federal and State policymakers. Additionally, the study is examining how technology assessment information is disseminated to medical care practitioners and consumers, and assessing its ability to affect medical practice and health care utilization.

Several other OTA studies contributed directly to the health-related work of the 102d Congress. Committees drew on a series of OTA reports on preventive technologies when considering such issues as Medicare coverage of screening for colorectal cancer, cervical cancer, etc. OTA's 3-volume report on adolescent health was used by Congress in drafting several pieces of legislation, including the Preventive Health Amendments of 1992, the Alcohol, Drug Abuse and Mental Health Agency Reorganization Act of 1992, the Indian Health Care Amendments of 1992, the Job Training Reform Amendments of 1992, and the Juvenile Justice and Delinquency Prevention Act of 1992. In the 103rd Congress, OTA will help establish a factual basis and broad context for the critical future debates on health care.

SECURITY

Events of recent years have reoriented the Nation's approach to national security. OTA has contributed to Congress's deliberations on these moves with studies such as "Building Future Security: Strategies for Restructuring the U.S. Defense Technology and Industrial Base". This report finds that, while the capacity of the U.S. defense technology and industrial base (DTIB) to provide defense goods and services currently exceeds foreseeable national security requirements, anticipated cuts in the defense budget of a third to a half over the next decade could impair the ability of the base to meet future national security needs, unless there is a fundamental restructuring of the DTIB.

The structural changes in the DTIB described in this report require a shift in thinking about what constitutes national security and the role of science and industry in maintaining it. This new paradigm will rest on a willingness to purchase knowledge rather than hardware in many cases. OTA found that the "proportional downsizing" favored by many in the defense community would not best support the Nation's future defense needs. Required is a structured base with a new allocation of resources among its three main elements: R&D; production; and maintenance. The waning major military threat and large weapons inventories allow a relative shift toward R&D—emphasizing future potential over current forces. Also necessary is an integrated management approach that aims to achieve the best use of resources for the base as a whole, rather than the individual elements.

In "Building Future Security" OTA found that peacetime production efficiency would be enhanced by lowering barriers between defense and civilian production. We are following up that finding with a study called "Assessing the Potential for Closer Integration of Defense and Civilian Technology and Manufacturing." The national security objectives of integrating the civilian and defense technology bases include: reducing total costs of military equipment; gaining greater access to advanced technology; increasing the two-way technology flow between the defense and civilian sectors; and broadening the defense base by increasing the number of potential defense suppliers. This integration might also promote international competitiveness of U.S. industry. The results of the new study will provide Congress a better understanding of the current level of integration, identify characteristics of specific technology and industrial sectors that lend themselves to integration and those in which integration appears difficult, assess the implication of integration in specific cases, and provide Congress some options to support the objective of increased civil-military integration.

OTA's analyses of security issues had multiple impacts on the work of the 102d Congress. For instance, OTA's briefing materials and the summary of the report, "Verification Technologies: Measures for Monitoring Compliance with the START Treaty", were included in the Senate hearing record. OTA held an international workshop on redefining national security, a topic of much concern in past and future Congresses. And, on a more local level, OTA examined the standard set by the National Institute of Justice for police body armor (in Police Body Armor Standards and Testing) to determine the utility of the current standard. The study also identi-

fied options for Congress to use to ensure that body armor on the market performs as advertised and that standards for armor do not unnecessarily restrict market access or deter use of body armor. OTA's published and ongoing studies provide essential grounding in basic technical knowledge and opportunities in the areas of personal, national, and international security.

SUSTAINABILITY

OTA has published many studies related to the importance of environmental considerations in providing for security and economic well being. A 1992 study, "A New Technological Era for American Agriculture", found that newly emerging biotechnologies and advanced computer systems hold great promise for American agricultural productivity and competitiveness. However, public concerns about their potential impact on food safety and the environment, as well as their possible social and economic implications, need to be addressed.

Many new technologies for agriculture (e.g., new tissue culturing and genetic engineering tools, genetically modified vaccines and diagnostics, growth promotants, reproductive technologies, transgenic animals) will be commercially available in the 1990's but not automatically accepted or adopted. Whether the new technologies for agriculture will flourish or stagnate will depend largely on how U.S. public institutions resolve the complex problems of regulatory oversight, and on whether scientists and policymakers can allay public concerns—particularly about biotechnology. Negative experiences with nuclear and chemical industries have made the public wary of new technologies and have eroded confidence in institutions. Environmental concerns include: adequacy of the knowledge base for risk/benefit assessment and for science-based, risk-based regulations, and putting regulations into effect together with scientific and agronomic methods to manage risk on a large scale.

In another 1992 study that illustrates the link between environment and economy—"Building Energy Efficiency"—OTA reported that energy efficient furnaces, air conditioners, lights, and other devices are now available that can save money as well as energy. Greater use of these technologies would also reduce environmental damage, offset the need for additional electricity generating capacity, and reduce national dependence on imported oil by reducing energy use in buildings.

While many energy efficient technologies cost more to purchase, energy savings often more than repay these extra costs. The financial returns offered by the purchase and use of these technologies are often far higher than those offered by other personal financial investments. OTA estimates that implementation of all cost-effective energy efficient technologies would cut energy use in buildings by up to one-third by 2015, relative to a business-as-usual projection. These savings would be worth about \$80 billion per year at today's energy prices.

Several OTA reports on environmental issues figured prominently in the work of the 102d Congress. For example, "Complex Cleanup", which analyzed environmental remediation and waste management programs at the DOE nuclear weapons complex, led to a provision in the defense authorization bill that requires DOE to prepare, with broad outside input, a report to Congress assessing the effectiveness of its citizen advisory groups and of methods of improving public participation in its environmental and waste management activities. The study also led to increased funding for the Agency for Toxic Substances and Disease Registry's health assessments at DOE sites. Following release of OTA's background paper, "Disposal of Chemical Weapons: Alternative Technologies", legislation was introduced to create a mechanism to explore and develop alternative technologies and to require the Army to postpone construction of incinerators until alternative approaches were evaluated. Many options developed by OTA for "Changing By Degrees: Steps to Reduce Greenhouse Gases" were included in the energy bill. Improved environmental quality and sustainable use of natural resources will likely remain high on Congress's agenda, and the breadth and depth of OTA's publications in this area reflect committees' requests to OTA to develop analyses and options that can serve as a common resource to all of the Congress as it tries to resolve these issues.

OTA'S BUDGET REQUEST

Without question, advances in science and technology are increasingly central drivers of public policy. Technological change provides most of the precious few, new options for progress. Thus, OTA strives to help the committees understand both what is happening and what can be done through the legislative process to help foster science and guide technology toward its most productive ends.

OTA requests a budget of \$22,925,000 for fiscal year 1994, a 9 percent increase over fiscal year 1993. OTA's appropriation has remained approximately level, in con-

stant dollars, since fiscal year 1985. Our fiscal year 1994 budget request reflects an effort to hold on to the capability we now possess. OTA's primary goal is to ensure that the committees of Congress understand technological developments and how the legislative process can affect these developments and help the Nation accomplish its aims. To do that, we must be able to attract superior analysts from all scientific and technological disciplines, and we must provide our analysts with the tools (e.g., computing power) necessary to maintain productivity.

The budget request presented here would enable OTA to sustain its present level of effort. In addition, OTA is requesting restoration of \$480,000 to support contractual analyses and advisory panel meetings and workshops. Unavoidable increases in employer contributions to the retirement system and in rental costs have decreased OTA's budget available for studies, research, and support comparable to 1985 by 10.8 percent (in constant 1993 dollars; see Attachment 1). An additional \$480,000 in funding would enable OTA to devote approximately 22 percent of its research divisions' budgets to contracting, which we believe is minimal to meet the needs of a small agency with analytical capabilities across a diverse span of disciplines.

Mr. Chairman, we have prepared this request carefully and the Technology Assessment Board has given it their blessing. I know that you and the Members of the Committee will give it your full consideration and we will appreciate your continued support of OTA as a unique, shared resource for Congress.

ATTACHMENT 1.—OFFICE OF TECHNOLOGY ASSESSMENT APPROPRIATION HISTORY

Fiscal year	Appropriation	Constant 1993 dollars ¹
1985	\$15,692,000	\$21,335,870
1986	14,642,000	19,544,932
1987	16,636,000	21,424,708
1988	16,901,000	20,901,237
1989	17,937,000	21,162,767
1990	18,376,000	20,569,310
1991	19,556,746	21,006,989
1992	21,025,000	21,661,673
1993	21,025,000	21,025,000
Nine year average	20,959,165

¹ Based on a 3 percent CPI increase in 1993.

Increased retirement cost

Annual salary of FERS employees	1993 dollars \$4,851,142
FERS retirement costs @ 31.45 percent	1,525,684
Retirement based on CSRS @ 9.95 percent	(482,689)
Increased FERS cost	1,042,995

Lease analysis

Fiscal year 1985 lease appropriation	\$605,000
Fiscal year 1985 lease appro. in constant 1993 dollars	(822,598)
Adjustment for additional space (+ 26.4 percent)	(217,166)
Fiscal year 1993 appropriation	2,000,000
Increase above CPI inflation rate	960,236

NOTE.—Leased office space has increased by 12,261 square feet (26.4 percent) and parking spaces have increased by 28 (23 percent) since July 1, 1985.

Fiscal year 1993 vs. fiscal year 1985 appropriation adjusted for FERS and rental costs increases

(In constant 1993 dollars)

Fiscal year 1993 appropriation	\$21,025,000
Adjustment for FERS and rental increases	(\$2,003,231)
Available for operations, fiscal year 1993	\$19,021,769
Fiscal year 1985 appropriation (in constant 1993 dollars)	(21,335,870)
Reduction in program funds	(\$2,314,101)
Percentage decrease	- 10.8%

IMPACT OF PAST APPROPRIATIONS

Mr. HERDMAN. I would like to point out to you that, over the last 9 years or so, OTA's budget in terms of constant dollars, as my statement reflects, has gone down about 10.8 percent in funds available to carry out the research and analysis that are the agencies' work.

Last year, with the constant budget, again we lost about 3 or 4 percent in constant dollars, and I think this is beginning to show now in terms of our productivity; we are forecasting, as you see from our budget request, some falloff in productivity this year.

Second, we would make the case very strongly—as I hope we did in our request—that the amount of funds available for contract work for the panels that allow us to take advantage of the national expertise and wisdom on any given subject that we have been asked to look at, and for the outside experts that allow us to expand our horizons, has decreased considerably. We can't have staff that are expert in everything, but if we have outside experts that we can ask to do small pieces of analysis and data gathering, they allow us to get by with a limited staff that we have and still present a complete picture to the Congress in each individual report.

So contracting last year shrank again, and it will continue to shrink if we do not get the kind of support to allow us to keep pace with inflation.

UNIQUE ROLE OF OTA

Senator REID. Tell the committee why we need OTA. Why can't GAO do everything that you can do?

Mr. HERDMAN. Mr. Chairman, I would make the case that OTA is a unique asset to the Congress. I think, actually, in the deliberations of the group that is looking at the reorganization of the Congress, as in Norman Ordstein's remarks over the weekend. OTA has some features which are not duplicated or not matched elsewhere in another congressional support agency.

One of them, of course, is our Technology Assessment Board, which insures that our work is truly bipartisan. It's not to say that the other agencies aren't bipartisan, but OTA has an actual enforcement mechanism to insure bipartisan behavior and a very even-handed approach to all the subject matter that we address.

We also have an open process which allows us to involve our people and organizations from our network of scientifically expert individuals and organizations throughout the country, and allows us to involve what we call the stakeholders, people who are technology

sponsors, technology opponents, affected industries, the so-called parties of interest.

When these people are brought to OTA as our advisors for each individual project, that ensures that we have a complete and unbiased and even-handed and accurate report on the subject matter that we are looking at. And again, I think that is unique and not matched anywhere.

Finally, I think the record would show—a staff which is unmatched in terms of professional, science, and technology expertise.

FOCUS ON SCIENCE AND TECHNOLOGY

Senator REID. But Mr. Herdman, my question is—and I understand that, but I guess you know how I feel about the Office of Technology Assessment as it relates to technically important things—but when you get into talking about performance standards for the food stamp employment training program, that doesn't call for great expertise of a scientific nature, at least that I'm aware of. We have other agencies, including the General Accounting Office, that could do that.

I think, in my opinion, you have strayed from the purpose for which you were originated.

Mr. HERDMAN. Let me say a couple of things. First of all, that particular study was a congressional mandate; it was a statutory requirement; so it didn't give us a lot of flexibility as to whether or not we were going to do that or not.

I would also say this: I think we all need to be sensitive to the issue you are raising; in fact, I raised it this morning with our Board. So I think that we have to take cognizance that we have to focus on science and technology issues and be careful that we stick to those areas where we are particularly competent.

But I will also say this: If you go by the titles alone—maybe we should change the titles—but the areas we look at involve areas in which people who have scientific expertise—for example, you say, "Why would we look at health insurance? Does health insurance make a difference, the study we just did?" You could say, "Well, anybody can do that." Well, you need technically competent medical expertise to really understand the issues that are involved here, just like you need technically competent scientific expertise to do a lot of these studies.

Members come to us often and make requests. We often say, "Mr. Chairman, why doesn't GAO do this," and the committee often says to us, "Well, GAO does certain things well, but basically they are doing audits and the like, and the OTA has the expertise to analyze these things which have to do with science and technology. Where an understanding of that scientific expertise and discipline makes a big difference in the depth you are going to get into."

COORDINATION WITH CONGRESSIONAL AGENCIES

Senator REID. We are going to have some coordination, and you are asking for an increase, which you're not going to get, and I think you are going to have to make some decisions at the administrative level of your agency, because I can see just health studies that I think there should be some coordination with the Congressional Budget Office, CRS, and GAO.

Mr. HERDMAN. As you know, we do coordinate extensively with all three congressional support agencies on every single study, and I might say that they coordinate extensively with us. We undertake no study without having a specific discussion with each of the three agencies as to what they are doing and what's appropriate.

Senator REID. Senator Mack, did you have something?

Senator MACK. Just to follow up on this discussion.

Senator REID. Please do.

LIMITING STUDIES TO SCIENCE AND TECHNOLOGY

Senator MACK. Even if there were to be an increase, which I take it from the chairman that there will not be, it seems to me that the issue really is one of focusing on the primary responsibility. If you find yourself being drawn out into a number of different studies or reviews, then I think you're diluting the ability to focus in on what I have kind of looked at your responsibility as being much more targeted than the several references that you have used.

I mean, I think you can probably make the argument to do almost any study brought before you, from the comments that you made about your involvement in health care. This is a very, very complicated, high technology society that we live in.

So it seems to me that, given the idea that you're going to be dealing with budgets that are much more restrained than they had been in the past, then I think you are going to have to be even more focused and turn away even more requests.

Did the requests come to this board of advisors or the Advisory Board? Is that who makes the decisions, by the way? Is that what you do?

Mr. HERDMAN. Yes; the Board that Senator Hatch serves on is chaired by Senator Kennedy and the vice chairman is Congressman Sundquist from the House, and the requests originate from committees. I spent some considerable time talking to Mr. Harris of your staff, as you suggested when you wrote me, and I think that we made some progress in terms of communicating on these particular issues.

I think it's a difficult subject to communicate. I have the sense that I'm not doing a good job of communicating to the subcommittee why I think OTA is doing what it's responsible to do. If there is some way I could do that better or if I could meet with your staff, Senator Reid, to do a better job in communicating this particular situation, I would be happy to spend my time to the extent necessary.

Senator—what you said is true, science and technology is so interwoven into so much of our life today that it's always possible to say that you need expertise.

When the committees come to us, they sometimes want to look at an issue that focuses on science and technology. Where they feel that these factors are going to be an important element, and that only a full understanding of these is going to enable you to get into the depth necessary to analyze the problem with the precision that can only be accomplished if you have scientifically capable people who are looking at it.

They might want to get more program data or collect more information or focus more on the budgetary implications; if so, they go

over to the other support agencies. Or if they want more of an overview they too go to CRS because they do shorter work. Our studies—for example you see this is the defense conversion study—result in long reports.

Senator MACK. Let me give you an example just because you used health care a little bit earlier to make the point.

I have a particular interest, for example, in legislation dealing with cancer. The legislation that I have proposed would provide a tax credit to individuals to take advantage of early detection. There is a whole series of questions that are related to that.

I happen to believe intuitively that providing those resources for early detection will detect diseases at the earliest possible stages; I believe, therefore, reducing health care costs over a period of time.

Then you could get into questions about what kind of technology should be used to make that determination. Take mammography, for example. There is now research being done at least in one area at the University of South Florida in the area of using the same technology that we use to map the Moon to identify tumors much earlier on film from mammography.

The question would be: Should we be heading in that direction? Is that something that we should support? Should that be speeded up so that it's available in early detection?

Now, I could think of going to CBO to ask the question about is it reasonable to assume that providing the tax credits for early detection makes sense? I could come to you because you're saying the importance of having the scientific and technical data of people that work with us all the time—

Senator REID. If you hadn't asked so many questions, we wouldn't have to. [Laughter.]

Senator MACK. I apologize to the chairman.

Senator KENNEDY. I hope he has asked all of the hard questions already. [Laughter.]

Senator MACK. Or we could go to the General Accounting Office.

What I'm saying is that, somehow or another, we have got to tighten up where the work is carried out. That's my point.

Mr. HERDMAN. I can respond to that after the Senator has a chance to speak.

Senator KENNEDY. Go ahead.

Mr. HERDMAN. No; it will take me a while.

STATEMENT OF HON. EDWARD M. KENNEDY

Senator KENNEDY. I want to thank Roger and thank all of you for the chance to come here and make a brief presentation in support of OTA's proposed budget.

I noticed yesterday that the President of the United States indicated that we will be investing \$17 billion in new technologies over the period of the next 4 years. So the Congress is going to have important responsibilities in seeing how those technologies impact on a wide variety of different areas of public policy.

If the country is going to be involved in that kind of a commitment, then the expertise that the OTA has demonstrated over a very considerable period of time, particularly under the leadership of Jack Gibbons, is an invaluable asset. We should be able to afford

a modest increase in the OTA budget, basically to keep up with a number of the different challenges that the Congress has given to the agency.

It's always interesting to those involved in OTA to see how OTA studies are actually utilized. For example, consider the OTA studies on economic conversion. We are going to be moving in that direction whatever anyone agrees to on the amounts, and this is going to be enormously important in terms of the country's economy and also in terms of our leadership. We had no economic conversion program at the end of World War II. It was the GI bill, and we had some 12 to 14 million men and women under arms, and that went down to about 2 million, but we had such pent-up demand that the economy really reacted.

Some of the work that has been done in the Armed Services Committee last year under Senator Bingaman has been enormously important, and the OTA studies that were done on the economic conversion had an important role in shaping and developing that program; it's about \$1.5 billion in terms of the economic conversion program. And the technology analysis done by OTA on our defense base was also important.

Finally, let me just note that there is an OTA study underway on the defense laboratories. I know the chairman is very familiar with this issue, about how they can best be utilized to meet the technological demands of our society, both militarily and in civilian life. I think that study will be helpful to us as we consider these areas of technology.

PREPARED STATEMENT

I won't take additional time. I would like to submit my statement.

[The statement follows:]

STATEMENT OF SENATOR EDWARD M. KENNEDY

Mr. Chairman, members of the Subcommittee, I appreciate the opportunity to testify in support of the budget request of the Office of Technology Assessment for fiscal year 1994.

OTA was created twenty years ago by the Technology Assessment Act of 1972. As one of the sponsors of that Act, and as the current Chairman of the Technology Assessment Board, I have hatched with pride as OTA has become a world-renowned source of information and analysis on current technology issues. At a symposium last month commemorating the 20th anniversary of the agency, speaker after speaker spoke of OTA's valuable role in the effort to harness scientific and technological advances for the good of the American people.

The agency's reputation for excellence was enhanced by President Clinton's selection of OTA's Director, Dr. John Gibbons, to be the White House Science and Technology Advisor. Congress will miss Jack's leadership, but OTA's loss is the country's gain.

OTA is requesting an appropriation of \$22.9 million for fiscal year 1994, an increase of 9 percent, and I urge the Appropriations Committee to act favorably on it. We recognize the importance of reducing spending by the legislative branch as part of the overall effort to reduce the deficit. But OTA, one of the smallest of the congressional agencies, has an impact on the quality of legislation that belies its size. OTA funds are a wise investment and an excellent bargain for Congress and the nation.

Each year, OTA prepares dozens of formal assessments, background papers and case studies on subjects ranging from adolescent health to nuclear disarmament. OTA's well-researched and carefully reasoned reports are must-reading in Congress and the Executive branch, and in private industry as well.

OTA reports are invariably timely. For example, few subjects are as high on the nation's agenda as the downsizing of the military budget and the reform of our health care system. OTA has produced a series of excellent reports on both of these issues.

In its report "Building Future Security: Strategies for Restructuring the U.S. Defense Industry," OTA conducted a comprehensive analysis of defense technology and the nation's industrial base. It proposed a major restructuring of the military industrial complex, in order to maintain defense capabilities during the transition to a post-Cold War economy, and meet pressing domestic needs.

In "After the Cold War: Living With Lower Defense Spending," OTA provided Congress with a detailed projection of the manner in which defense cuts will affect each region of the country, and a detailed assessment of the impact on the states affected most adversely. The report reviews and assesses existing federal programs to address economic dislocations, and identifies needs not addressed by current programs. It is an excellent example of OTA's ability to analyze complex problems in ways that Congress can readily use.

OTA has also made major contributions to the health care debate. In the past year it released reports on Alzheimer's Disease, Women's Health Research, and the epidemiology of AIDS. Earlier this morning, the Technology Assessment Board approved two new studies—one on the efficacy of dietary supplements, and the other on the chronic health problems of servicemen and women resulting from the oil well fires in the Persian Gulf during Operation Desert Storm. As Congress deals with health care reform this year, OTA's expertise in the field of medical technology assessment will be especially useful.

The requested level of funding will barely enable OTA to keep up with the increasing number of important assignments delegated to it by the Congress. It will assure that OTA retains the capability to produce high-quality analysis of the pressing scientific and technological challenges facing Congress, the Administration and the nation.

STUDY OF CURRENT ISSUES

Senator KENNEDY. Let me add that just today, the Technology Assessment Board approved two health-related studies. One will look at the efficacy of dietary supplements. The other will look at programs developed to record the health implications for American forces that served in the gulf as we develop information on the impact of the oil well fires.

There is some indication of adverse health impact, and both the DOD and the Veterans Administration are attempting to develop registries so that the Government would be able to notify individuals, and also deal with these adverse health implications.

So, the OTA is current, it's important, and I think that the record that has been achieved over recent years makes it one of the premier governmental agencies, with no lack of respect for the Congressional Research Service, which is an enormous asset to all of us, and the other legislative branch agencies. I think that OTA is really an extraordinarily important agency.

Senator REID. Senator Kennedy, Senator Hatch preceded you.

Senator KENNEDY. Fine.

Senator REID. And basically, the conversation here this morning has related around not the importance of OTA, but the fact that it limited itself to doing things of highly technical nature, scientific nature. We have had a number of examples of studies that were not of scientific study, something about the implication of food stamps is one that comes to my mind. OTA just can't get involved in those things now.

Now, Mr. Herdman indicated that the reason for that is the—

Senator KENNEDY. Could you yield?

Senator REID. Yes.

CURTAILING MANDATED STUDIES

Senator KENNEDY. We have tried over the period of recent years to bring to the attention of our Senate colleagues the strong preference of those on the Technology Assessment Board that we not be statutorily mandated to conduct OTA studies. This helps us assure that whatever is done is basically done in the technological field. I think we have had some success. We have not had complete success.

In this last session, for example, Congress mandated a review to understand the technologies of vitamins, minerals, and herbal preparations. That's a big industry. I'm chairman of the Labor and Human Resources Committee, and there are a number of Senators who have a major interest in trying to get some kind of assessment of the health implications of these dietary supplements. But that has been mandated.

TARGETING TECHNOLOGICAL ASPECTS

I agree that we should be more targeted just on the technological aspects, and I think it's a fair criticism that we have, in the past, gotten involved in items with just a tangential relationship to technology.

Senator BURNS. Would the Senator yield on that?

Senator Kennedy, even though you are talking about food stamps, sir, I have come at this at about the same angle that you do, but we also did a couple of demonstrations on using the smart card in the dispensing of food stamps and have been very successful and problem saving the Government a lot of money is through the fraud and abuse of that because of using smart cards.

By the way, that assessment was not done by OTA. That was just taken from Secretary of Agriculture, and some of us who thought that that would probably work. So even though you look into that, there are some overriding implications that this Department could underwrite.

Senator KENNEDY. Yes; for example, in the health area, we are constantly trying to evaluate technology in terms of its cost/benefit ratio. Both the OTA and the Agency for Health Care Policy and Research in HHS have had a role in this over the period of the last few years. These agencies try and do a constant evaluation of these new technologies and do it in terms of cost and what the implications are in terms of health.

And that's going to be enormously important as the Congress considers these health issues, and will be enormously important down the line, both in terms of additional costs and also as a way of reducing costs. We are talking \$1 trillion a year in health costs. If we are able to have some additional information so that we can make informed and balanced judgments about the impact of technology on health care, this modest OTA budget would be well spent.

Senator REID. I appreciate very much your attendance here today.

Senator KENNEDY. Thanks. I can't wait to hear Roger's long answer. [Laughter.]

Senator REID. Do you remember the question?

OTA'S UNIQUE CONTRIBUTION

Mr. HERDMAN. The question was about preventive technologies and cancer. Your statement makes the point, Senator Mack, because you mentioned that some of the work could be done by CBO or others.

But I would argue, in fact, that OTA does this and does it very well. And as you know, we have a number of publications on the subject, but to really do the analysis of the cost effectiveness of these technologies, you cannot do it at all unless you know what technologies for screening are available and what percent of the affected population they detect correctly with false positives and false negatives, what diagnostic maneuvers are going to have to be done when a positive is obtained, both a real and a false positive and how far you are going to look into all the implications for care and expenses this entails for the individual person.

And you have to know what kind of results to expect because it's no good to do early screening or detection of something where it doesn't make any difference. So you have to be well aware of the medical implications of early detection and how early and at what stages, and so on. Then you have to be able to cost out those various stages.

When we do that—and perhaps you have read some of our studies, and I may have sent them to Mr. Harris when he called me about 1 year ago—then you see that all that information has to be in there.

Although it may look as if CBO can do that or one of the other agencies—and, in fact, I'm sure that they can make a contribution—that's something that I think a technically or medically competent person has to do.

Senator MACK. Are you making a pitch, then, for us to come to you and evaluate this proposal?

Mr. HERDMAN. Well, we would be happy to help in any way that we can. [Laughter.]

Senator MACK. I don't have anymore questions.

Senator REID. I have one final question before we turn it over to Senator Burns.

LOCALITY PAY

The Federal Employees Pay Comparability Act of 1990 adopted the concept of locality base pay for Federal workers paid under the General Schedule. In your request you have included \$301,000 to cover these anticipated costs. Research shows that you don't fall within the applicable pay systems with regard to locality pay.

What is the authority that will allow locality pay for the employees of OTA?

Mr. HERDMAN. I will have to ask Jack Boertlein.

Mr. BOERTLEIN. I'm Jack Boertlein, the Budget and Finance Officer.

The Director has the authority to set salaries for the staff of OTA. We wanted to include this in the budget estimate in order to remain comparable with other agencies, as far as pay.

We thought that, if other agencies were going to be granting locality pay, then we would be pressured to do the same. Especially,

given that the merit pay increases were withheld from OTA employees last year because of the freeze on the fiscal year 1993 budget. The Director does have the authority to grant locality pay adjustments, though, it is not a legal mandate.

Senator REID. Senator Burns?

Senator BURNS. I don't think I have any questions. We have pretty well covered this discussion.

Senator REID. Thank you very much.

ADDITIONAL COMMITTEE QUESTIONS

We have some other questions that we are going to submit to you in writing. We would appreciate you responding to them at the earliest possible date.

Mr. HERDMAN. I would be happy to.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

IMPACT OF FISCAL YEAR 1992 FREEZE

Question. The funding provided to the OTA for fiscal year 1993 was at the same level as was provided in fiscal year 1992.

What has been the impact of this freeze at the fiscal year 1992 level had on OTA?

Answer. OTA had requested a total of \$1,296,000 in fiscal year 1993 for mandatory and price level increases. By not granting merit pay increases a savings of \$480,000 was realized. By terminating the Office's service support contract and hiring temporary employees as a replacement, a savings of \$178,000 was achieved. After these and other adjustments were made, \$524,000 of the required mandatory and price level increases had to be absorbed by program reductions. This amounts to a 2.5 percent reduction from our fiscal year 1992 level and will equate to a similar loss in the Office's production.

Question. How have you managed to keep OTA operating effectively?

Answer. The replacement of our service contract by temporary employees achieved a savings with little impact on our services. The elimination of merit pay increases did not have an immediate impact. However, future curtailment of these increases could jeopardize the quality of employee we are able to hire and keep. We have sought to implement efficiencies and cost-saving measures wherever possible to utilize our limited resources as effectively as possible. Since we have been doing this for some years, there is very little room for additional savings other than program reductions. The delivery schedules of some reports have been extended.

IMPACT OF COMMITTEE FUNDING RESOLUTION REDUCTION

Question. The committee funding resolution reported by the Rules Committee (S. Res. 71) reduces funding for committees in the Senate by 6.4 percent below the levels provided in the last Congress. Taking that as a bench mark for purposes of discussion.

How would you manage OTA with comparable reduction?

Answer. A 6.4 percent reduction would reduce our appropriation of \$21,025,000 by \$1,346,000. However, we have identified \$794,000 of fixed cost (Annualization of January 1993 COLA \$129,000, Merit Pay Increases \$407,000, Health Benefit Increases \$38,000 and Non-compensation Price Level Increases \$220,000) that would have to be funded, making the actual reduction \$2,140,000 or 10.2 percent. Based on our current ratio of personnel cost, 74 percent or \$1,584,000 would come from staff reductions and the balance from contracts, supplies and other items. Using our average salary this would require OTA to reduce its staff by 24.6 full-time equivalent positions or 11.7 percent of our current level. We would make every effort to limit the negative impact of a reduction of this magnitude but in reality we would see a corresponding reduction in OTA's production. It should be noted that these assumptions are predicated on there being no January 1994 COLA or Locality Pay adjustments granted to employees.

Question. What items in your current request before the committee would you delete or retrench?

Answer. Because all of OTA's budget items are recurring in nature and therefore cannot be deferred, the reduction would reduce our ability to produce assessments.

COORDINATION AMONG OTA, CBO, CRS, GAO

Question. It is clear that OTA, CBO, CRS, and GAO are active with respect to many of the same issue areas. I know each of you bring a somewhat distinctive approach and set of resources to the problems they address.

At the same time I believe reasonable questions may be raised about the volume, content, and coordination of the work the agencies perform. All of you routinely produce studies and analyses on issues in national security, transportation, health, environment, energy, etc.

I know that OTA's principal mission is to provide the Congress with information and analysis with respect to technological issues facing the Congress and the Nation. But, I also think that OTA is called upon to study and testify with respect to a wide range of subjects.

For example assessments accomplished by your Energy, Materials, and International Security Division for fiscal 1992 was "Competing Economies: America, Europe and the Pacific Rim" and an assessment on "Performance Standards for the Food Stamp Employment and Training Program".

Wouldn't it be possible to live with fewer resources if you reduced your level of effort in program areas like these? Especially where other agencies are more qualified or experienced with respect to the issue in question.

Answer. OTA's statutory mission is to report "the probable beneficial and adverse impacts of the applications of technology and to develop other coordinate information which may assist the Congress." This deceptively simple assignment raises complex questions of scope of activities and use of methods. OTA responds to the requests and occasional legislated mandates of Congress, but it is also the agency's responsibility, and that of its governing Technology Assessment Board (TAB), to remain within the boundaries of its statutory language and intent. Below is an examination of OTA's scope and process for "Competing Economies: America, Europe and the Pacific Rim". The assessment "Performance Standards for the Food Stamp Employment and Training Program" was mandated by the Hunger Prevention Act of 1988 (Public Law 100-435).

OTA's report "Competing Economies: America, Europe and the Pacific Rim" could have been titled: "Building Strong High Technology Manufacturing Industries: Lessons Learned from the Computer, Semiconductor, Commercial Aircraft, and Auto Industries in America, Europe and the Pacific Rim". This report was the final report in a series of three in OTA's assessment of Technology, Innovation and U.S. Trade. The first two reports, "Paying the Bill: Manufacturing and America's Trade Deficit" and "Making Things Better: Competing in Manufacturing" concluded that there are many signs of weakness in American manufacturing technology and identified policy options to improve the ability of American manufacturers to develop and diffuse technology. "Competing Economies" examined how the environment for manufacturing in the United States could be made more conducive to improving its performance. It considered how Federal institutions, in cooperation with industry, could develop competitiveness strategies for high-tech, fast growing industries, and how technology, financial, human resources, and trade policies could be combined into strategic competitiveness policy. Roughly half the report considered how our major international competitors have built up technological excellence in industries of vital importance to trade, the creation of good jobs, and the spread of technology strength in other industries.

Science and technology permeate our society and should instruct our policy. Analyses by scientifically and technologically expert staff provide a unique perspective which complements that of other perspectives, e.g., economists. Science and technology based analyses are data driven which results in in-depth examinations and understanding of industries, technologies and systems typified by the preceding examples. These examples clarify why an expert technology base informs the Congress about "the * * * economic, social and political effects of such (technology) applications." Not all issues require or justify this resource intensive approach. OTA is on the lookout for, and indeed joins the other support agencies in referring work to more appropriate venues. Nevertheless, the scope of work that benefits from OTA attention is broader than a first look at the issue might suggest.

OTA's unique approach, the subjects we tackle, and our staff, which has a high degree of scientific and technical expertise, makes OTA unique from the other agencies serving the legislative branch. Two other important aspects of OTA set it apart; these are its process and its structure. OTA's process requires participation by outside advisors, which means that the sponsors and opponents of new technologies,

representatives of citizen groups, academic experts, state and local government organizations and affected industries, and others have access to and influence on OTA's work from the beginning and on a continuing basis throughout a study. This participatory process serves an obvious political objective; in addition it exposes OTA work to early and frequent criticism and helps ensure completeness, fairness and accuracy. Extensive peer review of drafts reinforces these outcomes. Also, OTA requires that its staff document carefully and extensively the substance of and the responses to critiques it receives. This documentation is forwarded to our Congressional Board as part of the approval process for every assessment.

The Board is an equally bipartisan governing board of House and Senate Members that provides a court of appeals for those who feel misrepresented or damaged by OTA. The Board can and does from time to time require further work, review or consultation to satisfy concerns of impartiality and accuracy. The Board also serves to enforce bipartisan behavior; as much as OTA appreciates the need for bipartisanship and usually succeeds in attaining it, it has proved important to have an enforcement mechanism in the form of TAB to guard against occasional lapses. TAB, OTA's staff and its analytical process, and the agency's grounding in science and technology as an approach to analysis all combine to make OTA a unique asset to the legislative branch.

Committee requests for assessments are submitted to the Technology Assessment Board for approval. We make every effort to direct requests for assessments that we do not feel appropriate to the appropriate agency and in the vast majority of the cases we are successful. The Board, in its oversight role, has the authority and has rejected assessments that it has not felt required the expertise of OTA. We do not believe that there is a group of assessments whose focus is not appropriate to the agency that could be eliminated for a savings.

LOCALITY PAY

Question. The Federal Employees Pay Comparability Act of 1990 adopted the concept of locality based pay, for Federal workers paid under the General Schedule. In your request you have included \$301,000 to cover these anticipated costs. Our research shows that you do not fall within the applicable pay systems with regard to locality pay.

What is the authority that will allow locality pay for the employees at OTA?

Answer. Though the Federal Employees Pay Comparability Act does not address OTA, The Technology Assessment Act (Public Law 92-484) authorizes the director to set the salaries of OTA employees. Historically, OTA has granted the same COLA and other adjustments that have been provided to civil service employees. If other agencies in the Washington area grant locality pay adjustments OTA would have to do the same to remain competitive and attract employees of a high caliber.

REDUCTIONS IN ADMINISTRATIVE EXPENSES

Question. The President recently issued an Executive Order to reduce administrative expenses by 14 percent by 1997. The Joint Leadership of the Congress has endorsed that goal for the Legislative Branch.

How would you define administrative expenses?

Answer. OTA would define administrative expenses as those goods and services not directly related to the performance of an assessment. This would exclude rent and equipment purchases but include such things as miscellaneous printing, equipment rental, telephone service, postage, miscellaneous contractual services, and supplies.

Question. What steps would you take to cut back on administrative overhead/administrative expenses of the Office of Technology Assessment to achieve a 14 percent reduction by 1997?

Answer. OTA has eliminated all expenses that are not in direct support of assessments which would not have a negative impact on production. These include the elimination of administrative positions wherever possible and the use of temporary employees to meet peak demands. Any reductions would have to come from the assessment programs.

Question. Update the list of travel expenses which appeared on pages 168-205 of last year's hearing record.

Answer. The information follows:

TRAVEL EXPENSES FOR FISCAL YEAR 1992

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0360	Alic, John	Senior Associate	5/6-5/6	(1)	Pittsburgh	Seminar on technology policy at Carnegie Mellon University.
I5-0450	Alic, John	Senior Associate	6/11-6/12	\$357.58	Bethlehem	Participation in panel at Innovation Management Research meeting, Lehigh University.
I5-0452	Alic, John	Senior Associate	7/21-7/22	(1)	Los Angeles	Principal speaker, panel on Technology and Economic Competitiveness, 40th Anniversary SIAM Meeting.
I5-0572	Alic, John	Senior Associate	9/14-9/15	(1)	Boston	To participate in workshop on technology policy, Harvard University.
I5-0082	Alic, John	Senior Associate	11/3-11/5	824.42	Los Angeles San Jose	To make a presentation at Institute of Management Science Meeting (Los Angeles) and participate in Agribusiness Meeting (San Jose).
I5-0103	Alic, John	Senior Associate	11/7-11/8	187.54	Wilmington	To make a presentation at Conference on Bicentennial of Alexander Hamilton's Report on Manufacturers, Hagley Center.
I5-0134	Alic, John	Senior Associate	12/1-12/3	207.00	Boston	To participate in the Harvard Business School Conference on International Trade and Competition.
I5-0164	Alic, John	Senior Associate	1/2-1/4	606.41	New Orleans	To make a presentation at Annual Meeting of American Economics Association.
I5-0280	Alic, John	Senior Associate	3/2-3/2	310.00	White Plains	Participate in meeting at IBM Latin American Headquarters to discuss U.S.-Mexico study.
I5-0457	Andelin, John	Assistant Director	6/10-6/12	(1)	Williamsburg	To give a speech before senior members of government agencies on policymaking (science and technology) at a seminar sponsored by the Brookings Institution.
I5-0010	Andelin, John	Assistant Director	10/2-10/3	55.00	Charlottesville	To attend and participate in the annual advisory board meeting of the Center for Risk Management of Engineering Systems.
I5-0036	Andelin, John	Assistant Director	11/8-11/8	126.00	Philadelphia	To give two seminars on OTA, Congress, and science/technology policy—one for faculty and one for students.
I5-0056	Anderson, Margaret	Analyst	11/10-11/14	588.27	Atlanta	To attend annual meeting of the American Public Health Association.
I5-0155	Anderson, Margaret	Analyst	12/8-12/11	16.80	Cold Spring Har	To attend a seminar on DNA at the Banbury Center.
I5-0328	Atkin, Jon	Analyst	4/20-4/21	251.04	Atlantic City	To attend the FAA Tech Center conference.
I5-0128	Atkin, Jon	Analyst	11/20-11/22	754.94	San Francisco Denver	To visit several bus manufacturers and operators in San Francisco and Denver.
I5-0216	Atkin, Jon	Analyst	2/11-2/13	696.98	Chicago	To attend the Bus Expo '92 in Chicago.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0245	Atkin, Jon	Analyst	2/19-2/21	1,021.87	Winnipeg	To visit with officials from MCI Bus Manufacturing Corp.
I5-0433	Baldwin, Samuel	Senior Analyst	6/12-6/19	946.06	Orlando	To attend the Solar '92—The National Solar Energy Conference in conjunction with OTA's on-going assessment on renewables.
I5-0566	Baldwin, Samuel	Senior Analyst	9/29-10/3	(¹)	Aspen	To present the results of the OTA report "Fueling Development" at the fifth annual Competitex Forum.
I5-0361	Bandy, Karen	Senior Analyst	4/26-4/27	449.02	Boston	To give presentation at Conf. on "Avoiding Managerial Liability: Developing Corp. Strategies for Info. Protection, Ethics and Privacy".
I5-0068	Behney, Clyde	Program Manager	11/9-11/11	616.89	Atlanta	To attend the American Public Health Association Annual Meeting.
I5-0456	Bierbaum, Rosina	Senior Associate	7/19-7/27	460.71	Boulder	To participate in 2 OTA workshops to be held at the Foothills Laboratory. 1st workshop is Water Resources and Climate Change; and 2nd workshop is Management of Western Lands and Climate Change.
I5-0473	Bierbaum, Rosina	Senior Associate	6/24-6/29	415.97	Woods Hole	To attend the Multiple Uses of the Coastal Zone in a Changing World retreat. To participate in this multidisciplinary effort to consider a range of coastal issues in light of climate change.
I5-0528	Bierbaum, Rosina	Senior Associate	8/10-8/17	¹ 102.50	Honolulu	To present the American Institute of Biological Sciences/Ecological Society of America Plenary lecture in lieu of Senator Albert Gore on "Decisionmaking in the Face of Uncertainty: A View from the Congress".
I5-0046	Bierbaum, Rosina	Senior Associate	11/4-11/11	559.60	Albuquerque	To attend the Climate Change and Water Resources Management Conference. Sessions will include present-day planning in water resources for climate change.
I5-0133	Bierbaum, Rosina	Senior Associate	12/6-12/27	¹ 179.20	Hong Kong	To present a paper on "Changing By Degrees: Steps to Reduce Greenhouse Gas Emissions" to the POLMET 91 Environmental Conference. This conference will deal with pollution in the urban and metropolitan areas and major global environmental problems.

I5-0174	Bierbaum, Rosina	Senior Associate	1/12-1/16	215.62	Boston	The Center for Global Change Science at MIT is sponsoring a conference on "The World at Risk: Natural Hazards and Climate Change." The conference will bring together many experts in the field of adaption to climate change. A key topic will be issues related to water systems which is part of the Global II study.
I5-0349	Blair, Peter	Program Manager	4/15-4/18	(¹)	Oakland	To serve on the Energy and Environment Division Review Committee at the Lawrence Berkeley Laboratory.
I5-0384	Blair, Peter	Program Manager	5/6-5/7	356.01	New York City	To participate in a seminar at the Environmental Literacy Summit at Rene Dubos Center in cooperation with United Nations Environment Program.
I5-0406	Blair, Peter	Program Manager	5/13-5/13	(¹)	Boston	To attend meeting on Energy Efficiency Employment Impacts sponsored by Energy Foundation.
I5-0430	Blair, Peter	Program Manager	5/27-5/27	173.50	New York City	To attend and participate in the Energy and Environment: The International Policy Issues study group sponsored by the Council on Foreign Relations.
I5-0466	Blair, Peter	Program Manager	6/18-6/18	(¹)	New York City	To give presentation on "Energy Efficiency in the 1990's" to ASME.
I5-0512	Blair, Peter	Program Manager	8/1-8/5	858.90	Aspen	To attend the 1992 Policy Issue Form in Aspen.
I5-0534	Blair, Peter	Program Manager	8/26-8/31	154.00	Los Angeles	To attend Congressional staff trip to renewable energy facilities.
I5-0004	Blair, Peter	Program Manager	10/24-10/25	(¹)	Altoona	To give a talk on energy efficiency in the Distinguished Speakers Series at Penn State.
I5-0007	Blair, Peter	Program Manager	10/1-10/2	(¹)	Reading	To give presentation on "Fuels" at the Executive Conference for Gilbert/Commonwealth, Inc.
I5-0008	Blair, Peter	Program Manager	11/4-11/10	¹ 179.19	Kyoto	To give a presentation at the IEA International Conference on Technology Response to Global Environmental Challenges on "Effecting a U.S. Energy Transition: Technological Risks and Opportunities".
I5-0248	Blair, Peter	Program Manager	2/25-2/27	973.79	San Francisco	To attend the fourth Energy Modeling Forum meeting on "Global Climate Change: Energy Sector Impacts of Greenhouse Gas Emissions Control Strategies" (EMF 12).
I5-0290	Blair, Peter	Program Manager	3/6-3/6	133.86	Philadelphia	To attend Center for Energy and the Environment Workshop on "Investment Opportunities in the Russia Oil Industry."
I5-0225	Blair, Peter	Program Manager	2/1-2/5	125.75	Lihue	To attend Aspen Institute Working Group Meeting on International Environment and Development Policy.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
15-0461	Bowes, Michael	Senior Analyst	7/18-7/25	653.06	Boulder	To participate in 2 back-to-back OTA workshops on climate change to be held at the foothills Laboratory. The first is on water resources, and the second is on management of western lands.
15-0041	Breitbach, Mary Beth ..	Sys. Support Only	11/2-11/6	776.51	Orlando	To attend the 1991 Computer Training and Support Conference.
15-0256	Breitbach, Mary Beth ..	Sys. Support Only	03/20-3/24	348.00	Minneapolis	To attend seminar on Managing and Fine Tuning the Existing Help Desk.
15-0416	Brown, Mark	Senior Analyst	5/17-5/21	708.43	Albuquerque	To meet with DOE and discuss what programs they plan for weapons retirement. Also meet with Environmental Safety and Health and discuss their plans for nuclear weapons dismantlement.
15-0154	Brown, Mark	Senior Analyst	12/10-12/11	425.74	Lexington	Attend a briefing and tour the Lexington-Bluegrass Army Depot, to discuss onsite chemical weapons stockpile and the Army's current relationship with community surrounding the site. Also, meet with community representatives who are involved with the ongoing problem of chemical weapons disposal.
15-0366	Bruening, Paula	Analyst	5/5-5/8	810.86	Portland	To attend the American Medical Informatics Assn. "1992 Spring Congress".
15-0362	Buyrn, Audrey	Program Manager	4/20-4/23	766.35	Santa Fe	To interview officials at Los Alamos National Laboratory about the post Cold War role of the DOE Mult. Labs.
15-0282	Buyrn, Audrey	Program Manager	3/8-3/12	793.97	San Francisco	To participate in meetings at NASA Ames and Lawrence Livermore Lab. on application to the civilian economy of defense-related technologies.
15-0451	Buzacott, Alan	Analyst	6/15-6/17	728.40	Chicago	Attendance at the ICC '92 Conference in Chicago.
15-0582	Buzacott, Alan	Analyst	9/21-9/22	567.04	Champaign	Site visit of the National Center for Supercomputing Applications.
15-0589	Buzacott, Alan	Analyst	9/28-9/28	351.20	Pittsburgh	Visit researchers at Carnegie Mellon University pertaining to the very fast packet paper.
15-0593	Buzacott, Alan	Analyst	9/30-10/1	268.02	Chapel Hill	Visit researchers at University of North Carolina for advanced network technology Background paper.
15-0073	Buzacott, Alan	Analyst	11/16-11/23	545.07	Albuquerque	To attend Supercomputing '92, Participate in 2 Tutorials in Los Alamos.
15-0156	Buzacott, Alan	Analyst	1/12-1/16	811.98	San Diego	To attend a Gigabit Workshop.
15-0001	Carson, Nancy	Program Manager	10/3-10/19	1,360.80	San Rafael	To speak at TAPE 1 conference.

I5-0588	Charr, Art	Senior Analyst	9/23-9/27	755.90	Albuquerque	To attend briefings at Sandia and Los Alamos National Labs.
I5-0497	Chornesky, Elizabeth ...	Analyst	8/8-8/14	1,816.37	Santa Fe	To attend the annual meeting of the Ecological Society of America. This is part of AIBS's annual meeting.
I5-0040	Chornesky, Elizabeth ...	Analyst	10/30-11/3	787.36	Hilton Head	To attend meeting "Introduction and transfer of Marine Species"; participate in workshop and make presentation for OTA on "Non-Indigenous Species".
I5-0021	Chubin, Daryl	Senior Associate	10/1-10/5	¹ 81.26	Budapest	To attend the NSF U.S.-Hungary Science Policy Workshop.
I5-0078	Chubin, Daryl	Senior Associate	12/7-12/13	1,665.40	London	To make presentation of Federally Funded Research report to the Science Policy Support Group and the UNESCO/ISPF Symposium.
I5-0218	Chubin, Daryl	Senior Associate	2/8-2/10	739.91	Chicago	To attend the AAAS meeting.
I5-0221	Chubin, Daryl	Senior Associate	3/4-3/6	¹ 207.00	Nashville	To attend a workshop for editors of refereed scientific journals.
I5-0235	Coates, Vary	Senior Associate	2/12-2/12	338.00	Morrestown	Series of interviews at AT&T.
I5-0283	Coates, Vary	Senior Associate	3/4-3/6	477.80	New York City	To attend a series of meetings with individuals from telecommunications, banks and securities organizations in relation to TCT project.
I5-0469	Coates, Vary	Senior Associate	9/13-9/14	2.00	Solomons Island ...	To attend Twentieth Annual Telecommunications Policy Research Conference.
I5-0059	Coates, Vary	Senior Associate	10/5-10/9	635.23	Budapest	Meet with a number of Hungarian officials about international telecommunications and the Eastern European communications infrastructure.
I5-0143	Coates, Vary	Senior Associate	12/4-12/6	358.07	New York City	To meet with several people on the Global project, for planning purposes, and attend a seminar on Private Networks and Public Objectives at Columbia University.
I5-0168	Coates, Vary	Senior Associate	1/8-1/15	¹ 139.50	Paris	To conduct interviews.
I5-0206	Coates, Vary	Senior Associate	1/24-1/24	147.00	New York City	Attend workshop at Columbia University, "Private Networks, Public Objectives".
I5-0369	Corrigan, Jackie	Senior Analyst	5/14-5/16	346.50	Chicago	Traveling to the American College of Surgeons for meeting on topics related to defensive medicine project.
I5-0455	Corrigan, Jackie	Senior Analyst	6/22-6/28	448.84	Portland	To meet with Maine officials from the government and medical, legal and insurance profession who were involved in creating the new malpractice experiment that is now going on in Maine.
I5-0093	Corrigan, Jackie	Senior Analyst	11/9-11/13	¹ 495.58	Atlanta	To participate in the American Public Health Assoc. Annual Meeting.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
15-0513	Corrigan, Jackie	Senior Analyst	8/1-8/5	366.77	Boston	To speak at a conference in Boston conducted by Health Systems Research, Inc. on Issues in Medical Liability and Health Care Quality: A Workshop for State and Local Government.
15-0394	Corrigan, Jackie	Senior Analyst	5/12-5/17	477.51	Sarasota	To make a presentation at a workshop on "Assessment of Responses of Mangrove Ecosystem to Global Climate Changes", and get feedback on management issues on coastal systems for OTA's workshop at the end of May.
15-0460	Corrigan, Jackie	Senior Analyst	7/18-7/25	779.25	Boulder	To participate in 2 back-to-back OTA workshops on climate change. The first is on water resources and the second is on managing western lands.
15-0536	Corrigan, Jackie	Senior Analyst	8/13-8/13	20.50	Charlottesville	To attend a workshop on global change and coastal dynamics. The workshop will include discussions on wetlands, sea-level rise, and potential effects of tropical and extratropical storms, all of which related to OTA's climate change study.
15-0185	Corrigan, Jackie	Senior Analyst	2/6-2/11	943.04	Chicago	To attend AAAS '92 annual meeting. Meeting will have several general climate sessions, including lectures on the uncertainties of climate forecasts, mitigation and adaption responses, and modeling the externalities of global warming, which will be useful background info for OTA's work on impacts of climate change on natural resources.
15-0391	Crane, Alan	Senior Associate	5/26-5/29	¹ 66.87	Berkeley	To attend LBL/DOE Conference on Critical Technologies Research and Chairing one Session.
15-0470	Crane, Alan	Senior Associate	6/18-6/18	¹ 6.00	New York City	Address seminar at New York University on E European study and discuss future collaboration on project.
15-0050	Crane, Alan	Senior Associate	10/20-10/24	¹ 375.73	Albuquerque	To attend a conference on global climate change and energy policy at Los Alamos.
15-0049	Crane, Alan	Senior Associate	10/16-10/16	(¹)	New York City	To address visiting Soviet Energy Specialists at NYU energy planning.
15-0306	Craw, Lola	Payroll/Ben. Ofc	04/7-4/12	704.58	New Orleans	Attend non-USDA users system information/electronic access coordinators annual conference at NFC.
15-0386	Craw, Lola	Payroll/Ben. Ofc	06/24-6/26	¹ 166.38	Charlottesville	To attend First Annual Benefits Officers Conference.

15-0251	Craw, Lola	Payroll/Ben, Ofc	03/15-3/20	857.77	New Orleans	Meet with NFC personnel re tables management; attend advanced operations training at NFC.
15-0243	Curlin, James	Program Manager	3/5-3/6	204.00	Greenville	To deliver lecture at Clemson University.
15-0346	Curlin, James	Program Manager	4/13-4/15	334.94	Tampa	Participation on panel for "The Changing Telecommunications and Information Technology of the 90's and Beyond; What is Possible, Probable, and Likely"
15-0462	Cutler, Nadine	Research Analyst	7/18-7/25	714.67	Boulder	To participate in 2 back-to-back OTA workshops at the Foothills Laboratory, on climate change. The first is on water resources and the second is on management of western lands.
15-0067	Cwalina, Ginny	Ofc. Administrator	11/9-11/13	798.59	Atlanta	To staff the OTA exhibit at the American Public Health Association Annual Meeting.
15-0327	Dopart, Kevin	Senior Analyst	4/20-4/21	298.65	Atlantic City	To attend the FAA Tech Center trip in Atlantic City.
15-0392	Dopart, Kevin	Senior Analyst	5/26-5/27	364.40	Hampton, VA	To go on a 2-day tour of the NASA-Langley Research Center.
15-0485	Dopart, Kevin	Senior Analyst	7/12-7/16	886.32	San Francisco	To visit labs and researchers at NASA/Ames Research Center and National Center for Atmospheric Research (NCAR) in support of the aviation R&D project.
15-0161	Dopart, Kevin	Senior Analyst	12/16-12/16	(¹)	Cambridge	To participate in Transportation Systems Center panel discussion on Intercity Passenger Transportation.
15-0335	Dougherty, Denise	Senior Associate	6/7-6/9	592.52	Chicago	Attend Health Services Research Conference in Chicago.
15-0399	Dougherty, Denise	Senior Associate	6/24-6/27	373.66	Philadelphia	To attend conference—The Political Economy of the Asylum: Issues of Public Choice and Health Insurance.
15-0510	Dougherty, Denise	Senior Associate	6/11-6/12	185.61	New York City	To meet with contractor Joanne Lukomnik regarding status of contract.
15-0012	Dougherty, Denise	Senior Associate	10/10-10/19	864.65	Los Angeles	To speak at a meeting on Breast Cancer in Pasadena and to speak at a conference on Adolescent Health.
15-0083	Dougherty, Denise	Senior Associate	11/8-11/13	679.50	Detroit	To attend the American Public Health Association Annual Meeting.
15-0085	Dougherty, Denise	Senior Associate	11/3-11/5	673.32	Oakland	To speak at the National Association of Prevention Professionals Annual Meeting in Oakland, California on Adolescent Health.
15-0086	Dougherty, Denise	Senior Associate	11/15-11/15	232.75	Greensboro	To speak at the North Carolina Health Education Annual Meeting on Adolescent Health Sixth Workshop from the Industrialized World—Problems and Prospects as part of "Energy Forum '92".
15-0138	Dunkerley, Joy	Senior Analyst	11/22-12/4	¹ 171.75	London	Panelist at British Institute Energy Economics/Royal Institute International Affairs Energy Conference.
15-0315	Edwards, Carol	Senior Analyst	3/17-3/19	586.51	Cleveland	Cleveland—to meet with UAW/Ford at their Walton Hills Site Dearborn—to meet with UAW/Ford at their headquarters.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
15-0459	Edwards, Carol	Senior Analyst	6/13-6/17	872.99	Dallas/Fort Worth	To attend the National Educational Computing Conference.
15-0580	Edwards, Carol	Senior Analyst	9/27-9/28	(1)	Jackson	To attend the "Telecommunication in Schools: Connecting Hope to Reality" conference.
15-0065	Edwards, Carol	Senior Analyst	11/3-11/5	313.70	Philadelphia	To attend the NCAL-OECD Roundtable on Adult Learning and Work: A Focus on Incentives.
15-0159	Edwards, Carol	Senior Analyst	12/3-12/4	201.00	New York City	To visit various literacy programs in the New York City area.
15-0524	Epstein, Gerald	Senior Analyst	9/14-9/14	(1)	Boston	Attend workshop on Government Technology Policy, at Harvard Kennedy School of Government. See attached memo.
15-0525	Epstein, Gerald	Senior Analyst	9/11-9/11	1 0.12	Pittsburgh	To discuss proliferation of missile technology and serve on Thesis Committee, at Carnegie Mellon University.
15-0043	Epstein, Gerald	Senior Analyst	11/1-11/1	165.70	Princeton	To attend symposium at the Princeton Plasma Physics Lab on fusion power and energy technology.
15-0109	Epstein, Gerald	Senior Analyst	11/11-11/14	1 281.22	Warrenton	To attend international conference on "Containing Nuclear Proliferation: Contingency Planning for the Challenges Ahead".
15-0309	Epstein, Gerald	Senior Analyst	3/22-3/26	995.79	Monterey Livermore San Francisco	To participate in discussions at Stanford, Monterey Institute of International Studies, and Lawrence Livermore National Labs with respect to the Proliferation of Weapons of Mass Destructions project.
15-0337	Epstein, Gerald	Senior Analyst	4/12-4/17	885.33	Albuquerque Los Alamos	Visits to Los Alamos and Sandia National Laboratories to discuss proliferation of weapons of mass destruction.
15-0293	Epstein, Gerald	Senior Analyst	4/24-4/26	639.40	Dallas/Fort Worth	To attend SMU Conference on Verification—relevant to Proliferation of Weapons of Mass Destruction project.
15-0127	Eyring, Greg	Senior Analyst	12/3-12/7	667.00	Seattle	To attend and present paper at EPA conference on Household Hazardous Waste Management.
15-0178	Fainberg, Anthony	Senior Associate	1/20-1/22	699.46	Washington, D.C.	To participate on FAA Study Panel.
15-0179	Fainberg, Anthony	Senior Associate	2/7-2/9	835.64	Chicago	To give speech at AAAS meeting.
15-0402	Fainberg, Anthony	Senior Associate	5/18-5/20	396.59	Las Vegas	To visit Nevada Test Site and meet with DoD officials.
15-0436	Fainberg, Anthony	Senior Associate	6/2-6/4	474.30	Washington, D.C.	To attend Retreat at Shepherdstown, WV with ISC staff.
15-0511	Fainberg, Anthony	Senior Associate	7/27-7/29	738.89	Washington, D.C. Vancouver	To attend meeting with members and staff of the House Armed Services Committee. To speak at meeting on explosives inspection Vancouver, B.C.

15-0113	Fainberg, Anthony	Senior Associate	11/19-11/22	¹ 537.76	Albuquerque	To attend/participate in DOE—Expo '91 conference on counterterrorism in Albuquerque and participate on FAA panel on counterterrorism in Dallas.
15-0522	Fenn, Marsha	Ofc. Administrator	7/31-7/31	39.00	Harper's Ferry	To visit possible site of staff retreat.
15-0323	Fenstermacher, Dan ...	AAAS Fellow	3/21-3/26	590.52	Monterey	To attend briefings/meetings at Monterey Institute, Stanford University, U.S. Dept. of Commerce, GE, and RAND Corporation.
15-0503	Fenstermacher, Dan ...	AAAS Fellow	8/3-8/5	¹ 436.00	San Jose	
					Santa Monica	
					Los Alamos	To participate in discussion at Los Alamos National Labs on subject of nuclear proliferation and safeguards, in coordination with Tony Fainberg (currently at Stanford Univ.).
15-0314	Feuer, Michael	Senior Analyst	3/18-3/20	¹ 118.00	Boston	To meet with advisory panel members from testing study concerning follow-on issues.
15-0356	Feuer, Michael	Senior Analyst	4/20-4/22	863.36	San Francisco	To attend the AERA meetings, and visit with people at Berkeley who are working on Voc Ed issues and people at Stanford who are working on testing issues.
15-0422	Feuer, Michael	Senior Analyst	5/21-5/22	255.22	New York	To speak to New York State educational personnel responsible for instructional programs for limited English proficient students, sponsored by the NY Multifunctional Resource Center.
15-0432	Feuer, Michael	Senior Analyst	6/5-6/6	504.51	Denver	To moderate two sessions at the annual testing conference put on by the Education Commission of the States.
15-0547	Feuer, Michael	Senior Analyst	9/9-9/11	¹ 113.80	Atlanta	To give a speech on testing at IBM education hqtrs in Atlanta, to moderate a panel discussion at the annual assessment conference of CRESST in Los Angeles.
					Los Angeles	To lecture at Drexell about OTA.
15-0033	Feuer, Michael	Senior Analyst	10/8-10/8	¹ 88.00	Philadelphia	To attend the Michigan School testing conference in Ann Arbor.
15-0213	Feuer, Michael	Senior Analyst	2/25-2/26	(¹)	Detroit	To attend a AAAS meeting.
15-0214	Feuer, Michael	Senior Analyst	2/7-2/8	(¹)	Chicago	Attend environmental technology exhibits and discussions in Sao Paulo and Rio de Janeiro in conjunction with the UN Conference on Environment and Development. In conjunction with the assessment on American Industry and the Environment. Cooperation to address Global Climate Change.
15-0437	Fletcher, Wendell	Senior Associate	6/5-6/24	2,075.61	Sao Paulo	To participate in conference on environmental technology cooperation with Mexico and Latin America. (American Industry and Environment Project).
					Rio de Janeiro	
15-0122	Fletcher, Wendell	Senior Associate	11/16-11/19	¹ 629.90	LaJolla	

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
15-0200	Fletcher, Wendell	Senior Associate	1/28-2/2	(¹)	Mexico City	To present a paper on environmental industry/pollution prevention approaches and to participate in a conference on Environment, Energy, and NAFTA in Mexico.
15-0496	Fondriest, Steven	Research Assistant	8/10-8/14	680.72	Toronto	To attend the annual meeting of the Society for Ecological Restoration.
15-0027	Fondriest, Steven	Research Assistant	10/24-10/26	539.70	Indianapolis	To attend exotic species conference.
15-0112	Friedman, Robert	Senior Associate	11/19-11/22	(¹)	Newburgh, NY	To attend conference on climate change research needs sponsored by Science and Policy Associates, Inc. for DOE, EPA, and EPRI.
15-0157	Friedman, Robert	Senior Associate	12/10-12/10	42.00	Baltimore	To present a paper on Changing by Degrees as part of a session on climate change to the annual conference of the Society for Risk Analysis.
15-0257	Friedman, Robert	Senior Associate	2/25-2/27	766.00	San Francisco	To co-chair a meeting of the Energy Modeling Forum on the cost of controlling CO ₂ emissions.
15-0465	Fulton, Kathleen	Senior Analyst	6/13-6/15	291.31	Detroit	To visit adult literacy programs in Michigan with Ron Gillum of the Advisory Panel.
15-0242	Fulton, Kathleen	Senior Analyst	2/10-2/17	1,326.64	Los Angeles	To meet with contractor for case studies and visit literacy projects in Los Angeles; to attend an Apple Conference in San Francisco.
15-0295	Gajar, Stephanie	Fellow Finalist	3/23-3/25	324.75	Washington, D.C. ...	Congressional Fellowship Finalist—1992.
15-0398	Garcia, Linda	Senior Associate	5/19-5/22	(¹)	Boston	To make a presentation at the Teshplan Development Meeting at Woods Hole Oceanographic Institution.
15-0480	Garcia, Linda	Senior Associate	9/12-9/13	32.50	Solomons, MD	To attend the 20th Annual Telec. Policy Research Conference.
15-0581	Garcia, Linda	Senior Associate	9/16-9/17	(¹)	Philadelphia	To make a presentation to the Annual Conference of the Public Radio Program Directors Association.
15-0590	Garcia, Linda	Senior Associate	9/29-10/1	605.97	Detroit	To participate in the Industrial Technology Institute visits and interviews in Detroit and Ann Arbor.
15-0115	Garcia, Linda	Senior Associate	11/6-11/6	51.00	Baltimore	To attend a meeting regarding Standards.
15-0120	Garcia, Linda	Senior Associate	11/14-11/15	(¹)	Boston	Participation as a speaker at MIT, Communications Forum—"Information Standards Process: Policy vs. Practice".
15-0516	Garcia, Linda	Senior Associate	7/27-7/30	679.70	Austin	Attendance at the MCC Membership Information Systems Division Workshop.

15-0028	Garcia, Linda	Senior Associate	10/27-10/27	1 440.00	St. Louis	To speak at the Second Annual Conference of the National Rural Economic Developers Association.
15-0029	Garcia, Linda	Senior Associate	10/29-10/30	1 211.00	Louisville	To participate on a Panel at a conference on Small Business Development in Rural Kentucky. Then on to Milwaukee to speak at a Conference.
15-0030	Garcia, Linda	Senior Associate	10/31-11/1	(¹)	Knoxville	To participate in the Appalachian Regional Commission's Conference.
15-0321	Garcia, Stephen	Research Analyst	7/31-7/31	0.00	Raleigh/Durham	To visit possible site for staff retreat.
15-0407	Gelband, Hellen	Senior Associate	6/12-6/20	752.90	Harper's Ferry	To attend meeting of the International Society for Technology Assessment in Health Care, and pre-meeting invited meeting of the Canada Coord. Office for Health TA.
15-0005	Gelband, Hellen	Senior Associate	10/16-10/20	(¹)	Vancouver	To work with drug labeling project staff and to attend the Drug Labeling Working Group meeting.
15-0204	Gelband, Hellen	Senior Associate	1/23-2/13	(¹)	Washington, D.C. ...	To attend meetings as a WHO consultant in Penang, Malaysia and in Bhubaneswar and Madras, India, related to lymphatic filariasis.
15-0474	Gibbons, John	Director	7/9-7/10	(¹)	Penang	Attendance at the Energy Foundation Board of Directors Meeting.
15-0482	Gibbons, John	Director	8/9-8/11	(¹)	Bhubaneswar	To attend Electric Power Research Institute Advisory Council Summer Seminar.
15-0262	Gibbons, John	Director	2/24-2/24	278.00	Boston	To meet with Dr. Joshua Lederberg, President Emeritus, Rockefeller University, and Chairman-Elect, OTA Technology Assessment Advisory Council.
15-0325	Gibbons, John	Director	3/30-3/30	184.00	San Diego	Visit with Mr. Rod Nichols, new Chief Executive Officer, New York Academy of Sciences.
15-0348	Gibbons, John	Director	4/22-4/22	(¹)	New York City	To attend briefing with journalists, sponsored by SIPI.
15-0475	Gibbons, John	Director	8/1-8/5	1 196.25	Aspen	To attend Aspen Energy Forum.
15-0586	Gibbons, John	Director	9/30-10/1	28.75	Queenstown, Md. ...	Participant in meeting of Blue Ribbon Advisory Committee, Aspen Institute Communication and Society Program.
15-0024	Gibbons, John	Director	10/31-11/1	1 26.00	New York City	To attend Energy Board Foundation meetings.
15-0042	Gibbons, John	Director	10/21-10/21	(¹)	St. Louis	Delivering the second Elvera and William Stuckenberg Lecture at Washington University.
15-0117	Gibbons, John	Director	12/2-12/4	(¹)	San Francisco	Attendance at the Electric Power Resource Institute Meeting.
15-0118	Gibbons, John	Director	12/7-12/12	1 1,064.28	Amsterdam	Participant in the Executive Conference on Energy Technology for Sustainable Development.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0167	Gibbons, John	Director	1/17-1/18	(¹)	Tucson	Participating in the Conference on Energy and Environment, University of Arizona.
I5-0231	Gibbons, John	Director	2/25-2/25	(¹)	Boston	Participant in a Nuclear Energy Meeting hosted by the MacArthur Foundation.
I5-0232	Gibbons, John	Director	3/4-3/6	(¹)	San Francisco	To attend Energy Foundation Board of Directors Meeting.
I5-0233	Gibbons, John	Director	3/26-3/28	1 778.00	San Francisco	To attend Energy, Risk and Environment Symposium.
I5-0284	Gibbons, John	Director	3/9-3/9	171.50	New York City	Attendance at Inaugural Session of London/NY lecture series "Future of the Nationhood".
I5-0351	Gillman, Katherine	Senior Associate	4/19-4/23	848.45	Albuquerque Phoenix Santa Fe	To visit Sandia and Los Alamos National Labs for economic conversion project, and to speak at workshop convened by Senator McCain.
I5-0438	Gillman, Katherine	Senior Associate	6/2-6/4	143.50	Boston	To speak on After the Cold War to a regional meeting of state dislocated workers assistance and community development officials.
I5-0541	Gillman, Katherine	Senior Associate	8/23-8/24	592.28	Tallahassee	To present testimony on defense conversion to the Florida Reinvestment Task Force chaired by Rep. Jim Bacchus.
I5-0202	Gillman, Katherine	Senior Associate	1/26-1/28	1 118.00	Boston	To lead discussion of OTA reports on competitiveness with business group, interview MIT professors on dual use technologies for assessment of Technology and Defense Conversion.
I5-0265	Gillman, Katherine	Senior Associate	3/9-3/13	1,170.41	San Francisco	To visit NASA Ames and Lawrence Livermore Labs on technology transfer issues and attend conference on Microelectronics Technology Transfer.
I5-0374	Gluck, Michael	Senior Analyst	7/14-7/25	3,114.94	Paris Amsterdam Geneva	Going to Paris to meet w/Elisbeth Monod at the French Health Ministry on 7/16 to discuss contract paper. Also meeting with John-Pierre Poullier on 7/17 who is a panel member on the international project who will not be able to attend the panel meeting in August. Will travel to Amsterdam to attend VIII International Conference on AIDS/III STD World Congress. Will then travel to Geneva to meet with WHO on Tuberculosis.
I5-0380	Gluck, Michael	Senior Analyst	6/12-6/20	792.02	Vancouver	Attend the 1992 ISTAHC conference which presents information on evaluating technology assessment performed by governments.

15-0066	Gluck, Michael	Senior Analyst	11/9-11/13	708.78	Atlanta	To participate in the American Public Health Association Annual meeting.
15-0259	Gluck, Michael	Senior Analyst	2/25-2/27	143.00	Boston	Meeting with Genzyme, Inc. to go over their production and R&D costs for the injectible drug aiglycerase used in the treatment of Gaucher's Disease. This information related to the project on government policies and pharmaceutical research and development.
15-0364	Gonzalez, Emilio	Analyst	5/26-6/4	1,256.82	Coeur d'Alene	To conduct site visits and field research on electronic service delivery for "Federal Telecom. in the 21st Century," study, including visit to the Flathead Indian Reservation, Crow Indian Reservation, Big Sky Telegraph and Wyo Card demonstration project.
15-0489	Gonzalez, Emilio	Analyst	7/29-8/9	3,148.36	Missoula Dillon Billings Sheridan Cheyenne Anchorage	On site visits in Alaska for Federal Telecom Study.
15-0104	Gonzalez, Emilio	Analyst	11/20-11/25	645.15	Fairbanks Kotzebue Boston	
15-0013	Goode, Ellen	Research Analyst	10/1-10/6	509.31	Dallas/Fort Worth ..	To attend a Workshop on the Strategic Uses of Technology—Kennedy School of Government—Harvard University.
15-0183	Goode, Ellen	Research Analyst	1/15-1/17	443.51	New York City	To attend the Fifth Annual North American Cystic Fibrosis Conference.
15-0554	Goode, Ellen	Research Analyst	9/22-9/28	817.29	Seattle	To attend workshop on "Cystic Fibrosis Counseling" sponsored by Sarah Lawrence College and St. Vincent's Hospital and Medical Center.
15-0296	Goodman, Mark	Fellow Finalist	3/23-3/25	414.34	Washington, D.C. ...	To attend "The Birth of Bioethics" meeting at the University of Washington.
15-0350	Gorte, Julie	Senior Associate	4/16-4/16	159.00	Boston	Congressional Fellowship Finalist—1992. To give a lecture to a graduate class in East Asian economies on direct investment issues facing the U.S., Japan, Korea and Taiwan.
15-0529	Gorte, Julie	Senior Associate	8/16-8/21	1,172.52	San Diego	To interview officials of firms that have had Japanese equity investment, to determine what contributions or threats such investments pose for the U.S. technology base.
15-0176	Gorte, Julie	Senior Associate	1/21-1/22	174.95	San Francisco St. Louis	To speak to the Society of Manufacturing Engineers on "Competing Economies."

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0203	Gorte, Julie	Senior Associate	1/27-1/28	177.50	Boston	To lead discussion of OTA reports on competitiveness with business group, interview MIT professors on dual use technologies for assessment of Technology and Defense Conversion.
I5-0264	Gorte, Julie	Senior Associate	3/9-3/13	682.34	San Francisco	To visit NASA Ames, Lawrence Livermore Laboratory and attend a conference on technology transfer from dual-use or military activities to civilian industry.
I5-0448	Gorte, Ross	Detailer	6/21-6/27	872.86	Portland	To testify at field hearings of the House Small Business Subcommittee on Regulations, Business Opportunities, and Energy.
I5-0484	Gough, Michael	Program Manager	7/29-7/31	603.50	San Diego	To chair Health and Human Services Review Committee for the USAF's Health Study.
I5-0583	Gough, Michael	Program Manager	9/18-9/19	183.00	Philadelphia	To present a talk at the Wharton School Program on Risk Assessment.
I5-0016	Gough, Michael	Program Manager	10/1-10/8	¹ 771.50	Santa Fe, Des Moines	To attend EPA-sponsored meeting about environmental research in the 1990's; in Santa Fe. Also to attend and present a talk at the National Health Association, in Des Moines.
I5-0184	Gough, Michael	Program Manager	2/10-2/12	715.96	Chicago	To present a paper to American Association for the Advancement of Science.
I5-0258	Gough, Michael	Program Manager	3/21-3/28	¹ 107.07	Dublin	To participate in a "U.S.-European Community Workshop on Methods of Communicating Biotechnology With The Public".
I5-0471	Govan, Emilia	Senior Analyst	7/19-7/24	(¹)	Woods Hole	To attend workshop on Critical Issues in Environmental Remediation at the Woods Hole Retreat of the National Academy of Sciences' Board on Radioactive Waste Management and to make a presentation to the panel on "Institutional Issues". The presentation will be based on the "Complex Cleanup" report.
I5-0102	Gwin, Holly	General Counsel	11/7-11/12	196.00	Raleigh/Durham ...	To attend meeting on "Approaches to Evaluating the Toxicity and Carcinogenicity of Man-Made Fibers".
I5-0039	Hahn, Brenda	Sys. Support Anly	11/2-11/6	768.41	Orlando	To attend the 1991 Computer Training and Support Conference to keep OTA up-to-date on change training and support issues.
I5-0034	Hall, Laura	Senior Analyst	10/25-10/26	387.66	Boston	To attend Genes and Human Behavior Symposium, Harvard Medical School.

I5-0063	Hall, Laura	Senior Analyst	10/30-11/2	296.06	Pittsburgh	To attend meeting on Schizophrenia Treatment at Western Psychiatric Institute and Clinic.
I5-0130	Hall, Laura	Senior Analyst	11/20-11/21	445.89	Atlanta	To attend 7th Annual Rosalynn Carter Symposium on Mental Health Policy.
I5-0244	Hall, Laura	Senior Analyst	2/13-2/15	310.33	New Haven	Meeting at Yale University with Dr. Enid Peschel (Head of CAN-AM)
I5-0446	Hall, Laura	Senior Analyst	7/19-7/23	(¹)	Vancouver	To attend meeting of 2nd International Conference on Schizophrenia in Vancouver, Canada, and meet with Dr. Douglas A. Bigelow, Oregon Health Sciences University.
I5-0494	Hall, Laura	Senior Analyst	8/21-8/24	129.00	Pittsburgh	To attend annual American Sociological Association Meeting.
I5-0495	Hall, Laura	Senior Analyst	8/7-8/9	687.32	San Francisco	To attend the American Bar Association Meeting.
I5-0089	Hamilton, Sharon	Research Analyst	11/9-11/17	643.56	Atlanta	To attend the American Public Health Association Annual Meeting.
I5-0057	Hanna, Kathi	Senior Analyst	11/10-11/14	574.60	Atlanta	To attend the annual meeting of the American Public Health Association.
I5-0097	Harl, Neil	TAAC Member	11/6-11/7	773.27	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
I5-0268	Harl, Neil	TAAC Member	3/18-3/19	896.44	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
I5-0297	Hartney, Mark	Fellow Finalist	3/23-3/25	261.28	Washington, D.C. ...	Congressional Fellowship Finalist—1992.
I5-0396	Hausken, Tom	Analyst	5/26-6/4	1,335.23	Coeur d'Alene	To conduct site visits and field research on electronic service delivery for "Federal Telecom. in the 21st Century" study, including visit to the Flathead Indian Reservation, Crow Indian Reservation, Big Sky Telegraph and Wyo Card demonstration project.
I5-0551	Hausken, Tom	Analyst	9/11-9/27	1,701.05	Missoula Dillon Billings Sheridan Cheyenne Los Angeles Sacramento San Francisco Visalia	Site visits and interviews for the Federal Telecommunications for the 21st Century Project.
I5-0091	Herdman, Roger	Assistant Director	10/30-10/30	(¹)	Newark	Invited participant in National Medical Advisory Committee Meeting.
I5-0359	Herdman, Roger	Assistant Director	4/22-4/23	37.50	Millwood, VA	Participating in the Keystone National Policy Dialogue on Expanded Access to Therapeutic Drugs and Biologics for AIDS and Other Life-Threatening Diseases.
I5-0378	Herdman, Roger	Assistant Director	6/12-6/18	880.28	Vancouver	Invited participant to the National and International Perspectives on Research and Practice Symposium. Hosted by Canadian Coordinating Office for Health Technology Assessment.
I5-0389	Herdman, Roger	Assistant Director	5/12-5/12	(¹)	New York City	To attend Milbank Fund Technical board meeting.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
15-0444	Herdman, Roger	Assistant Director	6/3-6/3	(¹)	New York City	Health Care for Adolescents conference participant, sponsored by the United Hospital Fund.
15-0018	Herdman, Roger	Assistant Director	10/7-10/8	14.04	Albany	Presenter at the Symposium for State Legislators and Executives, sponsored by the New York State Council on Health Care Financing and the Milbank Memorial Fund.
15-0162	Herdman, Roger	Assistant Director	1/24-1/26	136.00	Cold Spring Har	Participant in 1992 Congressional Staff and Science Journalists' meeting at Banbury Center.
15-0224	Herdman, Roger	Assistant Director	2/4-2/4	(¹)	New York City	To attend Milbank Fund Technical Board meeting.
15-0313	Herzenberg, Stephen	Detaillee	3/16-3/17	203.26	Boston	To give a seminar to MIT Industrial Relations Section and to meet with academics on U.S.-Mexico issues.
15-0388	Herzenberg, Stephen	Detaillee	5/17-5/23	1,382.48	Mexico City	Gather information on human resource development and work reorganization in Mexico, and on business-government relations.
15-0151	Herzenberg, Stephen	Detaillee	12/11-12/14	746.07	Tucson Tijuana San Diego	To visit Maquiladora plants in Naco and Tijuana, Mexico with Robert Swaddell of the OTA Advisory Board.
15-0165	Herzenberg, Stephen	Detaillee	1/3-1/4	495.44	New Orleans	To participate as a panel member and discussant at sessions of the Allied Social Science Association on the North American Auto Industry on miles of origin in a North American Free Trade Area.
15-0217	Herzenberg, Stephen	Detaillee	1/26-1/31	1,405.30	Mexico City	Interview gov't officials, business and labor representatives and academics who know about Mexican labor regulation.
15-0190	Herzenberg, Stephen	Detaillee	1/11-1/11	179.65	Boston	To meet with Jorge Carrillo and Michael Plore in Boston to discuss the Mexican labor regulation system.
15-0531	Hess, Alison	Senior Analyst	8/10-8/10	20.00	Shepardstown, WV	To visit the director of the National Aquaculture Association regarding possible new OTA assessment.
15-0385	Hilton, Margaret	Senior Analyst	5/17-5/21	875.84	Mexico City	Gather information on human resource development and work reorganization in Mexico, and on business-government relations.
15-0298	Holgate, Richard	Fellow Finalist	3/23-3/25	264.50	Washington, D.C.	Congressional Fellowship Finalist—1992.
15-0299	Hughes, Lucian	Fellow Finalist	3/23-3/25	674.48	Washington, D.C.	Congressional Fellowship Finalist—1992.
15-0269	Hunt, James	TAAC Member	3/18-3/19	585.93	Washington, D.C.	To attend meeting of Technology Assessment Advisory Council.
15-0026	Jenkins, Peter	Analyst	10/24-10/26	539.40	Indianapolis	To attend an exotic species conference.

15-0413	Jensen, David	Analyst	6/10-6/11	1 40.46	Chicago	To give a talk at a meeting of the Council on Plastics and packaging in the environment (COPPE).
15-0291	Jensen, David	Analyst	3/15-3/16	361.01	Detroit	To attend meeting of the Vehicle Recycling Partnership.
15-0020	Johns, Lionel	Assistant Director	10/1-10/3	(1)	Detroit	To serve as a member of a review team to evaluate the Industrial Technology Institute, and produce a report of the team's findings and recommendations. Mtg sponsored by Kellogg Foundation.
15-0140	Johns, Lionel	Assistant Director	12/3-12/5	(1)	Ann Arbor	To participate on panel to evaluate the Industrial Technology Institute's future directions.
15-0172	Johns, Lionel	Assistant Director	1/6-1/7	(1)	Kalamazoo	To further participate on panel to evaluate the Industrial Technology Institute's future directions in Ann Arbor.
15-0372	Johnson, Peter	Senior Associate	5/1-5/1	50.00	Berkeley Spring	To make a presentation at Cooftont Conference Center and to attend a day-long meeting of the military production network. The network is a coalition of local citizens groups from the communities around nuclear weapons facilities. Discussion will be on OTA's weapons dismantlement project and seek input about community concerns.
15-0403	Johnson, Peter	Senior Associate	5/17-5/22	982.73	Albuquerque	The Nevada trip is for a tour of the Nevada Test Site and meetings with DOE and contractor officials to prepare final information for Senator Reid's request. The Albuquerque trip is to meet with the DOE nuclear weapons dismantlement task force and with the safety and health officials.
					Las Vegas	
15-0405	Johnson, Peter	Senior Associate	6/4-6/18	680.13	San Francisco	To chair a session on environmental issues at the International Off-shore and Polar Engineering Conference in San Francisco. Also, to visit the Lawrence Livermore National Laboratory and meet with officials who are involved with nuclear weapons dismantlement and disposal programs for DOE. Also, to meet with the engineering director of advance systems at General Atomics in San Diego to discuss work on new technologies for chemical weapons destruction.
					Los Angeles	
15-0548	Johnson, Peter	Senior Associate	9/12-9/19	1 25.90	Moscow, Russia	To attend a public hearing in the Russian Supreme Soviet (Parliament) to discuss their draft law on nuclear waste management.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0152	Johnson, Peter	Senior Associate	12/10-12/11	421.75	Lexington	Attend a briefing and tour of the Lexington-Bluegrass Army Depot to discuss onsite chemical weapons stockpile and the Army's current relationship with community surrounding the site. Also, meet with community representatives who are involved with the ongoing problem of chemical weapons disposal.
I5-0187	Johnson, Peter	Senior Associate	1/9-1/10	(¹)	Chicago	To make a presentation on OTA work on defense waste at a conference at the University of Illinois and the Army Environmental Policy Institute.
I5-0247	Johnson, Peter	Senior Associate	2/11-2/12	(¹)	Boston	To make a presentation on Complex Cleanup at Tufts University.
I5-0310	Karas, Thomas	Senior Associate	3/22-3/26	879.87	Monterey Livermore San Francisco	To participate in discussions at Stanford, Monterey Institute of International Studies, and Lawrence Livermore National Labs with respect to the Proliferation of Weapons of Mass Destruction project.
I5-0340	Karas, Thomas	Senior Associate	4/12-4/19	696.70	Albuquerque Los Alamos Albuquerque	Visits to Los Alamos and Sandia National Laboratories to discuss proliferation of weapons of mass destruction.
I5-0019	Karas, Thomas	Senior Associate	10/23-10/28	727.33	Frankfurt Neckarelz	Attend conference "Controlling Military Research and Development and Exports of Dual-Use Technologies as a Problem of Disarmament and Arms Control Policy in the 1990's".
I5-0223	Karas, Thomas	Senior Associate	3/11-3/14	448.72	Ottawa	Attend conference on multi-lateral arms control verification.
I5-0289	Karas, Thomas	Senior Associate	4/24-4/26	591.23	Dallas/Fort Worth	To attend SMU Conference on Verification—relevant to Proliferation of Weapons of Mass Destruction project.
I5-0408	Keller, William	Senior Analyst	5/12-5/12	165.00	Boston	To give a talk to MIT symposium on MNC "local insiders."
I5-0487	Keller, William	Senior Analyst	7/12-7/18	1,427.39	San Jose	To do interviews of high tech firms for the MNC study.
I5-0556	Keller, William	Senior Analyst	9/4-9/5	557.29	Chicago	To meet with OTA contractors, Simon Reich and Lou Pauly to prepare for the September 11 Panel Mtg. and to attend annual mtg of the APSA.
I5-0163	Keller, William	Senior Analyst	1/4-1/11	¹ 130.90	Tel Aviv	To participate in an international workshop on "Arms Control and the New Middle East Security Environment" sponsored by the Jaffee Center for Strategic Studies at Tel Aviv University.

I5-0201	Keller, William	Senior Analyst	1/28-1/30	649.80	Los Alamos	To deliver findings of Global Arms Trade to the Center for National Security Studies at Los Alamos National Laboratory.
I5-0429	Kelly, Henry	Senior Associate	5/26-5/29	1 17.25	Berkeley	To attend LBU/DOE Conference on Critical Technologies Research and Chairing one Session.
I5-0467	Kelly, Henry	Senior Associate	6/15-6/16	(¹)	Orlando	To give a speech to the annual meeting of the Solar Energy Society.
I5-0509	Kelly, Henry	Senior Associate	7/26-7/29	942.00	Chicago	To attend the Special Interest Group on Graphics Conference.
I5-0553	Kelly, Henry	Senior Associate	8/27-8/30	(¹)	Hawaii	To deliver a paper to the Hawaii energy policy seminar.
I5-0557	Kelly, Henry	Senior Associate	9/1-9/3	582.94	Orlando	To visit Navy Training Systems Center for interviews.
I5-0070	Kelly, Henry	Senior Associate	10/25-10/25	(¹)	Toronto	To give a presentation to the Royal Architectural Institute of Canada.
I5-0077	Kelly, Henry	Senior Associate	10/28-10/28	304.00	Pittsfield	To discuss the future of the U.S. construction industry with the head of the GE Plastics Division and Executive Director of ABASCo. and to tour the experimental house and facilities in Pittsfield, MA.
I5-0111	Kelly, Henry	Senior Associate	11/5-11/6	(¹)	Williamsburg	To deliver a paper to the 1991 International Conference on Classification of Economic Activity organized by the U.S. Department of Census.
I5-0129	Kelly, Henry	Senior Associate	11/19-11/22	(¹)	New York City	To attend the Joint Climate Project sponsored by EPRI, EPA, Dept. of Interior, Dept. of Energy, Dept. of Agriculture, U.S. Forest Service and National Climate Program Office.
I5-0142	Kelly, Henry	Senior Associate	12/7-12/12	(¹)	Amsterdam	To attend IEA/OECD/NOVEM Executive conference on long range energy planning.
I5-0147	Kelly, Henry	Senior Associate	12/4-12/4	383.00	Orlando	To attend conference on Defense Training Systems.
I5-0191	Kelly, Henry	Senior Associate	1/12-1/13	(¹)	Fort Lauderdale	To give a speech to 2nd International Symposium on Distribution Automation and Demand Side Management.
I5-0212	Kelly, Henry	Senior Associate	1/22-1/23	(¹)	Boston	To give a speech on crisis in design for MIT Center for Innovative Design.
I5-0234	Kelly, Henry	Senior Associate	2/7-2/7	(¹)	Newark	To attend planning meeting for Net Cost for Atmospheric Research Summer workshop.
I5-0246	Kelly, Henry	Senior Associate	2/11-2/11	128.00	Boston	Meeting between ABacos (Building supplier consortia) and J.M. Davis of DOT.
I5-0409	Kemp, Kerry	Senior Analyst	6/12-6/20	873.63	Vancouver	Attend the 1992 ISTAH conference, which presents information on evaluating technology assessment performed by governments.
I5-0434	Kemp, Kerry	Senior Analyst	6/24-6/27	349.48	Philadelphia	To attend conference on Innovation and Management in Public Mental Health Services.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
15-0445	Kober, Nancy	Consultant	6/1-6/2	82.40	Washington, D.C.	To attend the Technologies for Literacy Workshop.
15-0479	Kober, Nancy	Consultant	6/4-6/4	67.50	Washington, D.C.	To meet with literacy project staff re final report.
15-0099	Koffler, Henry	TAAAC Member	11/6-11/7	570.69	Washington, D.C.	To attend meeting of Technology Assessment Advisory Council.
15-0270	Koffler, Henry	TAAAC Member	3/18-3/19	650.01	Washington, D.C.	To attend meeting of Technology Assessment Advisory Council.
15-0263	Kolsrud, Gretchen	Senior Associate	2/27-3/1	716.40	Mexico City	To participate in the "International Conference on North American Economic Integration, International Migration and Human Rights" in connection with the U.S.-Mexico study.
15-0427	Komor, Paul	Senior Analyst	8/29-9/6	784.50	San Francisco	To chair the Policy Panel at the ACEEE summer study on Energy Efficiency in Buildings.
15-0428	Komor, Paul	Senior Analyst	7/25-8/22	134.00	Warsaw	Attend National Academy of Sciences/Polish Academy of Sciences joint workshop on energy production and efficiency.
15-0173	Komor, Paul	Senior Analyst	1/10-1/15	(1)	San Francisco	To Co-Chair the Policy panel at the ACEEE Summer Study on Energy Efficiency in Buildings.
15-0499	Korchemkin, Mikhail	Consultant	7/16-7/16	81.50	Washington, D.C.	To give OTA staff a briefing on the Penn conference in which the Russian Minister of Energy discussed prospects for joint ventures between US and Russian Companies, in conjunction with OTA's ongoing assessment on Eastern Europe.
15-0365	Kouril, Gail	Mgr. Info. and Conf.	06/7-6/14	1,093.98	San Francisco	To attend Special Libraries Association Annual Conference.
15-0279	Kouril, Gail	Mgr. Info. and Conf.	04/10-4/10	192.25	Boston	To attend "Introduction to Total Quality Management for Information Professionals".
15-0090	LaPorte, Todd	Analyst	11/16-11/24	2,444.83	Prague	Attend the International Telecommunications Union Conference on Eastern European telecommunications development.
15-0377	LaPorte, Todd	Analyst	5/14-5/15	190.97	New York City	Attendance at Columbia University's conference on "Private Networks and Public Objectives".
15-0414	LaPorte, Todd	Analyst	5/17-5/20	538.10	Atlanta	Attend International Communications Association Conference.
15-0443	LaPorte, Todd	Analyst	6/14-6/22	335.70	Atlanta	Participation in Student Pugwash conference as invited senior advisor.
15-0507	LaPorte, Todd	Analyst	7/23-7/23	258.00	Newark	To attend meeting with the Chubb Insurance Co. to discuss information networks.
15-0237	LaPorte, Todd	Analyst	2/12-2/12	330.00	Morestown	Series of interviews at AT&T.
15-0095	Lederberg, Joshua	TAAAC Member	11/6-11/7	283.59	Washington, D.C.	To attend meeting of Technology Assessment Advisory Council.

15-0271	Lederberg, Joshua	TAAC Member	3/18-3/19	267.00	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
15-0100	Lennon, Max	TAAC Member	11/6-11/7	660.50	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
15-0272	Lennon, Max	TAAC Member	3/18-3/19	603.25	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
15-0052	Levenson, Howard	Senior Associate	10/27-10/28	(¹)	New Haven	To give two lectures on solid waste management at Yale University School of Forestry and Environmental Studies.
15-0081	Lewis, Jene	Admin. Secretary	11/10-11/13	766.78	Atlanta	To attend the annual meeting of the American Public Health Association.
15-0305	Limber, Susan	Fellow Finalist	3/23-3/25	368.78	Washington, D.C. ...	Congressional Fellowship Finalist—1992.
15-0373	Linsmenmeyer, Jan	Research Analyst	5/1-5/1	(¹)	Berkeley Spring	To participate in a day-long meeting of the military production network. The network is a coalition of local citizens groups from the communities around nuclear weapons facilities. Discussions will be about OTA's weapons dismantlement project and seek input about community concerns.
15-0153	Linsenmeyer, Jan	Research Analyst	12/10-12/11	414.75	Lexington	Attend a briefing and tour of the Lexington-Bluegrass Army Depot, KY, to discuss onsite chemical weapons stockpile and the Army's current relationship with community surrounding the site. Also, meet with community representatives who are involved with the ongoing problem of chemical weapons disposal.
15-0330	Liskowsky, David	Senior Analyst	4/10-4/12	(¹)	New York City	To attend Banbury Center conference on Occupational Safety and Health.
15-0395	Liskowsky, David	Senior Analyst	6/3-6/7	858.68	San Francisco	To attend the conference "What You Need to Know about Smokeable Drugs in the 1990's," for the addiction study.
15-0569	Liskowsky, David	Senior Analyst	9/16-9/18	519.87	Kansas City	Site visit for Addiction Report. Visit two substance abuse prevention/intervention programs.
15-0080	Liskowsky, David	Senior Analyst	11/10-11/14	751.10	New Orleans	To attend Society for Neuroscience Annual Meeting.
15-0562	Liskowsky, David	Senior Analyst	9/23-9/27	1,123.20	San Francisco	To attend Glide National Conference on Drug Prevention.
15-0423	Liskowsky, David	Senior Analyst	6/20-6/27	1,177.32	Keystone	To attend meeting of College on the Problems of Drug Dependence and the International Narcotic Research Conference.
15-0411	Maslow, Catherine	Senior Analyst	5/21-5/23	(¹)	Indianapolis	Will be speaking to the Advisory Group on Special Care Units of the Governor's Task Force on Alzheimer's Disease and Related Senile Dementias.
15-0493	Maslow, Catherine	Senior Analyst	7/12-7/14	(¹)	Chicago	Attend Alzheimer's Care Strategies Conference.
15-0044	Maslow, Catherine	Senior Analyst	10/16-10/17	(¹)	San Jose	To be the Keynote speaker at a conference on Mental Health and Aging.
15-0240	Maslow, Catherine	Senior Analyst	2/12-2/15	1,442.84	San Diego	Giving speech to the National Association on Home Care.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
15-0241	Maslow, Catherine	Senior Analyst	2/17-2/21	546.99	Portland	Traveling to the Portland Osteoporosis Center to gather information for the Case Management study.
15-0072	McCue, Brian	Senior Analyst	10/23-10/25	147.84	Aberdeen	To observe tests of soft body armor conducted at H.P. White Laboratory for DuPont "Re-Enactments".
15-0250	McCue, Brian	Senior Analyst	2/12-2/13	(¹)	Huntsville	To attend US Army briefings with selected Congressional staff on PATRIOT Missile performance during Desert Storm.
15-0055	McCurry, Debra	Asst Mgr Info Sv	11/8-11/14	515.54	San Francisco	To attend Online/CD-ROM '91 Conference and Exposition.
15-0535	McDermott, Ellen	Research Assistant	8/18-8/21	502.73	Charleston	To attend National Crime Prevention Council Workshop on "Community Strategies to Prevent Drug Abuse".
15-0565	McDermott, Ellen	Research Assistant	9/17-9/18	443.50	Kansas City	Site visit to Project Neighbor-Hood.
15-0170	McDonald, Jean	Dir. Press Affairs	2/6-2/10	983.80	Chicago	To attend AAAS Conference.
15-0312	McDonough, Robert	Senior Analyst	4/15-4/19	547.94	San Francisco	Traveling to Stanford University for information on the Osteoporosis project to discuss screening model.
15-0150	McDonough, Robert	Senior Analyst	12/4-12/6	452.22	Miami	To attend AHCPR Annual Research Conference.
15-0383	McLaughlin, Margaret	Analyst	5/5-5/7	371.40	Raleigh/Durham	To visit research laboratory at the Environmental Protection Agency's NIEHS facilities in Research Triangle Park, NC for risk assessment.
15-0015	McLaughlin, Margaret	Analyst	11/10-11/13	720.84	Atlanta	To attend the annual meeting of the American Public Health Association.
15-0300	Mendolia, Michael	Fellow Finalist	3/23-3/25	337.48	Washington, D.C.	Congressional Fellowship Finalist—1992.
15-0412	Moyad, Andrew	Analyst	5/14-5/15	(¹)	Salem	Site visits to Salem and Hope Creek nuclear power plants with contractor.
15-0420	Moyad, Andrew	Analyst	5/31-6/1	¹ 102.65	Salem	Site visits to Salem and Hope Creek Nuclear power plants with contractor in conjunction with OTA's on-going assessment on Nuclear.
15-0441	Moyad, Andrew	Analyst	6/1-6/1	Calvert Cliffs	Site visit to Calvert Cliffs nuclear power plant in conjunction with OTA's ongoing assessment on Nuclear.
15-0478	Moyad, Andrew	Analyst	6/24-6/25	242.68	New York City	Site visit to Shoreham nuclear power plant decommissioning project. Possible mtg. with research staff at Brookhaven Nat. Lab.
15-0559	Moyad, Andrew	Analyst	9/22-9/24	545.77	Denver	Site visit to Ft. St. Vrain nuclear power plant, meetings with Colorado state officials in support of nuclear assessment.

15-0345	Niblock, Robert	Program Manager	4/24-5/3	1,096.99	Tortolla, B.V.I	To chair and participate in the annual Sea-Space Symposium.
15-0463	Niblock, Robert	Program Manager	7/20-7/25	719.52	Boulder	To participate in 2 back-to-back OTA workshops on climate change in the Foothills Laboratory in Boulder, CO. The first is on water resources and the second is on western land management.
15-0158	Niblock, Robert	Program Manager	1/10-1/18	1,748.35	Paris	To attend a workshop on New Technologies: Opportunities and Risks for the Environment. This workshop is a joint initiative of the United Nations Environment Program Industry and Environment Office, the United Nations Center for Science and the French Ministry of the Environment.
15-0354	Nishimi, Robyn	Senior Associate	4/29-5/5	703.61	Phoenix	To attend the Third International Symposium on Human Identification.
15-0060	Nishimi, Robyn	Senior Associate	11/10-11/14	547.66	Atlanta	To attend annual meeting of the American Public Health Association.
15-0135	Nishimi, Robyn	Senior Associate	12/5-12/6	(¹)	Newport	To attend and speak at the Annual Meeting of The Council of State Governments.
15-0171	Nishimi, Robyn	Senior Associate	1/24-1/26	1,30.25	New York City	To attend Banbury Center, Cold Spring Harbor Laboratory, Congressional Staff and Science Journalists' meeting "The Commercialization of Biology".
15-0180	Nishimi, Robyn	Senior Associate	1/16-1/17	273.38	New York City	To attend Workshop on "Cystic Fibrosis Counseling" sponsored by Sarah Lawrence College and St. Vincent's Hospital and Medical Center.
15-0266	Nishimi, Robyn	Senior Associate	3/12-3/15	679.04	Charleston	To participate in AAAS meeting on ethical, legal and social issues of large genetic pedigree research.
15-0400	Nunn, Jack	Senior Analyst	5/27-5/31	1,737.21	Kiev	Attend conference on Security and Conversion.
15-0505	Nunn, Jack	Senior Analyst	7/19-7/21	734.59	Newport	Participate in two days of the defense industrial base task force at the Global War Game, examination of Future Defense Base.
15-0532	Nunn, Jack	Senior Analyst	8/15-9/1	1,78.00	Beijing	To participate in U.S.-Asia Institute Senate Staff trip to the People's Republic of China.
15-0087	Nunn, Jack	Senior Analyst	10/31-11/1	(¹)	Oklahoma City	To attend Congressional Hearings conducted by the House Armed Services Committee panel on the Structure of the Defense Industry. The panel is using the OTA study, Redesigning Defense as the basis for a series of hearings. The OTA study team will be gathering information from the government and industry participants for the upcoming OTA industrial base report.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0123	Nunn, Jack	Senior Analyst	11/14-11/15	(¹)	York	To visit the Ammo Depot Systems Command and BMY.
I5-0149	Nunn, Jack	Senior Analyst	12/9-12/11	526.05	Chambersburg Phoenix	To present talk at ADPA Symposium on Procurement Law and the Defense Industrial Base, and to participate in an American Defense Preparedness Association Conference.
I5-0424	O'Connor, Kevin	Senior Analyst	5/29-6/6	¹ 246.08	Pottsdam	To attend and speak at Biomedical Sciences Exchange Program, Pottsdam, May 31-June 2nd; and DECHMA (German platform for Industrial Biotechnology) meeting in Karlsruhe, June 3-5.
I5-0561	O'Connor, Kevin	Senior Analyst	10/12-10/15	220.00	Karlsruhe Frankfurt San Francisco	To attend and speak at the International Biotechnology Expo Scientific Conference.
I5-0023	O'Connor, Kevin	Senior Analyst	10/7-10/9	383.50	Nashville	To attend National Conference on Health Care for the Poor and Underserved at Meharry Medical College.
I5-0108	O'Connor, Kevin	Senior Analyst	11/17-11/24	¹ 1,530.99	Yokohama	To attend and speak at Japan Biotechnology conference on biotechnology, and visit with Japanese biotechnology officials in Kyoto and Tokyo.
I5-0294	O'Connor, Kevin	Senior Analyst	3/13-3/16	588.75	Kyoto Tokyo Houston	To attend and speak at conference on Genetics, Ethics, and Religion at Texas Medical Center, also visit John Lucas Drug Treatment Center.
I5-0483	O'Connor, Kevin	Senior Analyst	7/1-7/1	(¹)	Allentown	To speak at the National Technology University teleconference on "Analysis of Emerging Technologies: Biotechnology" at Lehigh University.
I5-0519	O'Connor, Kevin	Senior Analyst	8/16-8/23	¹ 210.24	Taipei	To attend and speak at Pacific Rim Biotechnology Conference in Taipei, Taiwan.
I5-0520	O'Connor, Kevin	Senior Analyst	8/11-8/11	¹ 36.40	Pittsburgh	To speak at the American Society of Animal Science meeting.
I5-0568	O'Connor, Kevin	Senior Analyst	9/16-9/18	¹ 445.13	Kansas City	Site visit for Addiction Report. Visit two substance abuse prevention/intervention programs.
I5-0064	O'Connor, Kevin	Senior Analyst	11/1-11/8	¹ 730.26	Bratislava	To attend and speak at Co/Biotech Conference in Bratislava, Czechoslovakia.
I5-0148	O'Connor, Kevin	Senior Analyst	12/4-12/7	¹ 432.16	Vienna San Francisco	American Psychological Association site visit of drug prevention and treatment facilities.

15-0031	O'Toole, Tara	Senior Analyst	11/9-11/14	716.84	Atlanta	To deliver a paper to the American Public Health Association on OTA's report on Complex Cleanup.
15-0053	O'Toole, Tara	Senior Analyst	10/27-11/2	1,398.00	San Francisco	To attend a conference on Advances in Occupational and Environmental Medicine. This conference on medical monitoring will include topics on hazardous waste, incineration and worker health issues.
15-0054	O'Toole, Tara	Senior Analyst	10/23-10/23	(1)	Raleigh/Durham	To make a presentation at panel discussion on the findings of Complex Cleanup report to the National Institute of Environmental Health Sciences advisory panel.
15-0215	O'Toole, Tara	Senior Analyst	1/23-1/23	(1)	Bridgeport, PA	To visit Superfund site with EPA and OSHA as part of OTA's project on hazardous waste worker health and safety. Transportation provided by EPA vehicle.
15-0331	Deirich, Ivan	Senior Analyst	4/6-4/8	(1)	Denver	To give lecture at Office of Personnel Management seminar on "National Security Policy."
15-0125	Deirich, Ivan	Senior Analyst	11/14-11/17	(1)	Chicago	To give talk at the American Bar Association and National Strategy Forum.
15-0192	Deirich, Ivan	Senior Analyst	1/22-1/24	1,322.76	Los Angeles	To serve as a panelist on the NSIA's Int'l. Committee conference on Int'l. Defense Trade.
15-0230	Deirich, Ivan	Senior Analyst	2/10-2/12	(1)	Denver	To present review of defense base study at OPM's National Security Policy Seminar.
15-0514	Onrubia, Christine	Graphic Des/Illust	7/23-7/24	544.50	Atlanta	To conduct press inspection for cover for the assessment New Technological Era for American Agriculture.
15-0338	Opher, Dorit	Research Analyst	6/5-6/9	743.58	Chicago	Attend Health Services Research Conference in Chicago.
15-0324	Page, Edith	Senior Associate	4/5-4/7	459.92	Toronto	To give the keynote address at the International Consensus Conference on Risks of Transporting Dangerous Goods.
15-0326	Page, Edith	Senior Associate	4/20-4/20	88.47	Atlantic City	To attend the FAA Tech Center conference.
15-0333	Page, Edith	Senior Associate	4/12-4/13	243.75	Hyannis, MA	To be the primary speaker at the joint NEBA/BANY Annual Convention.
15-0038	Page, Edith	Senior Associate	10/17-10/18	1,116	Dallas/Fort Worth	To speak at the Underground Infrastructure Rehabilitation Seminar.
15-0037	Page, Edith	Senior Associate	10/22-10/23	648.99	Detroit	To speak at the SAE International Conference and Exhibit in Dearborn and to speak at the 1991 Annual Civil Engineering Convention and Exposition in Orlando.
15-0071	Page, Edith	Senior Associate	10/28-10/30	1,39.99	Las Vegas	To speak at the Tech Trans '91 Conference in Las Vegas.
15-0074	Page, Edith	Senior Associate	11/1-11/2	405.00	Chicago	To participate in the American Evaluation Association '91 meeting.
15-0121	Page, Edith	Senior Associate	11/25-11/26	1,15.70	Philadelphia	To participate in EDA's annual regional conference.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0139	Page, Edith	Senior Associate	12/11-12/12	(1)	Cincinnati	To speak at the AR Conference and Road Show.
I5-0144	Page, Edith	Senior Associate	12/3-12/3	(1)	Boston	To attend "Technological Innovations and Human Factors in Transportation" seminar.
I5-0277	Page, Edith	Senior Associate	2/27-2/28	(1)	Orlando	To be a speaker at the IVHS America Executive Committee meeting.
I5-0288	Page, Edith	Senior Associate	3/5-3/8	87.50	Philadelphia	To meet with the General Manager of SEPTA to discuss surface R&D.
I5-0530	Parham, Walter	Program Manager	8/10-8/10	45.49	Shepardstown	To visit the director of the National Aquaculture Association, regarding possible new OTA assessment.
I5-0254	Parham, Walter	Program Manager	2/23-2/24	(1)	Durham	Attend Duke University's National Advisory Board meeting for the Center for Tropical Conservation, in Durham, N.C.
I5-0357	Paul, Sunil	Analyst	5/14-5/15	202.00	New York City	To attend a seminar at Columbia University—Columbia Institute for Tele-Information.
I5-0517	Paul, Sunil	Analyst	7/27-7/30	780.43	Austin	Attendance at Membership Information Systems Division Workshop on Enterprise Integration.
I5-0540	Paul, Sunil	Analyst	9/15-9/19	1,012.01	Monterey	To attend NREN Policy Workshop.
I5-0591	Paul, Sunil	Analyst	9/29-10/1	590.45	Detroit	To participate in the Industrial Technology Institute visits and interviews in Detroit and Ann Arbor.
I5-0592	Paul, Sunil	Analyst	9/25-9/25	188.50	New York City	CITI Conference on Private Networks.
I5-0453	Paxman, Dalton	Analyst	6/10-6/10	227.92	Raleigh/Durham	To attend Open House at the Environmental Protection Agency/Health Effects Research Lab.
I5-0379	Paxman, Dalton	Analyst	5/5-5/7	431.29	Raleigh/Durham	To visit research laboratory at the Environmental Protection Agency's NIEHS facilities in Research Triangle Park, NC for risk assessment.
I5-0094	Peterson, Chase	TAAC Member	11/5-11/7	1,259.30	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
I5-0273	Peterson, Chase	TAAC Member	3/18-3/19	1,357.80	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
I5-0449	Phillips, Michael	Senior Associate	6/24-6/26	541.46	Olympia	To make a presentation on advancements in agricultural biotechnology and implications for the U.S. to the Association of Official Analytical Chemists (AOAC).
I5-0481	Phillips, Michael	Senior Associate	7/12-7/16	584.15	Colorado Spring ...	To participate on a panel at the annual meeting of the Western Agricultural Economics Association.

I5-0076	Phillips, Michael	Senior Associate	10/28-10/29	572.00	Baton Rouge	To make a presentation on the restructuring of agriculture to agricultural leaders at Louisiana State University.
I5-0116	Phillips, Michael	Senior Associate	11/20-11/22	511.57	Tucson	Invited by the USDA/ARS to meet with their regional directors to discuss research priorities for the 1990's.
I5-0211	Phillips, Michael	Senior Associate	2/26-2/28	563.53	Dallas/Fort Worth ..	To serve as Chairman and moderator of the opening session of the Advanced Computer Application in Animal Agriculture Conference.
I5-0252	Phillips, Michael	Senior Associate	5/14-5/20	2,102.62	Oxford, England	To coordinate a session and to present an invited paper on new technologies and their impacts on agribusiness and food industries at the 1992 International Agribusiness Management Symposium.
I5-0286	Phillips, Michael	Senior Associate	3/9-3/10	1,189.59	Lancaster	To make a presentation on research priorities to the North Atlantic Area, Agricultural Research Service Leadership Conference.
I5-0003	Plotkin, Steve	Senior Associate	10/10-10/13	1,084	Chicago	To present a talk outlining conclusions of OTA's alternative fuels report at the conference entitled, "Clean Air Act Amendments: an Economic Opportunity for Illinois and the Midwest".
I5-0051	Plotkin, Steve	Senior Associate	10/24-10/31	1,232.90	San Francisco Los Angeles	To participate in an EPRI planning session for electric vehicle R&D in San Francisco and then to attend a conference in Riverside and deliver an address on Clean Air Act issues.
I5-0119	Plotkin, Steve	Senior Associate	11/14-11/14	(1)	Chicago	To give a talk on CAFE to the 19th Annual Illinois Energy Conference.
I5-0146	Plotkin, Steve	Senior Associate	12/11-12/12	(1)	Houston	To give a presentation on environmental implications of alternative fuels to the Petroleum Environmental Research Forum.
I5-0249	Plotkin, Steve	Senior Associate	2/25-2/25	315.75	Detroit	To deliver talk on NAS report on auto fuel economy to Society of Automotive Engineers Annual Meeting.
I5-0538	Plotkin, Steven	Senior Associate	8/30-9/1	(1)	Austin	To participate in a DOE sponsored evaluation of U.S. oil resources.
I5-0287	Plotkin, Steven	Senior Associate	3/11-3/18	1,117.20	San Francisco	To testify to the CA Energy Commission on Auto Fuel Economy, and to present a paper on Alter. Fuels to the Gas Processors Assoc. Traveling to the American College of Surgeons for meeting on topics related to defensive medicine project.
I5-0370	Polishuk, Philip	Research Assistant ...	5/14-5/19	472.56	Chicago	Attend the 1992 ISTAHC conference, which presents information on evaluating technology assessment performed by governments.
I5-0468	Polishuk, Philip	Research Assistant ...	6/12-6/20	792.19	Vancouver	To attend 7th Annual DOE Model Conference on Waste Management and Environmental Restoration.
I5-0047	Reyes, German	Analyst	10/14-10/17	651.21	Knoxville	To present a paper on "The Mixed Waste Dilemma" at 92 Waste Management Conference.
I5-0261	Reyes, German	Analyst	3/1-3/7	927.91	Tucson	

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0352	Roberts, Linda	Senior Associate	4/12-4/13	364.95	Chapel Hill	To attend the National Conference on Family Literacy.
I5-0417	Roberts, Linda	Senior Associate	5/18-5/18	297.50	Ypsilanti, Mi	To speak at Dingell-Ford Educational Conference.
I5-0458	Roberts, Linda	Senior Associate	6/8-6/11	(¹)	Queenstown, Md	To attend a session of the Institute for Information Studies.
I5-0518	Roberts, Linda	Senior Associate	7/29-8/2	607.00	San Francisco	To be briefed on Apple Advanced Technology (personal digital assistants, new Macintosh line, educational initiatives).
I5-0523	Roberts, Linda	Senior Associate	8/5-8/5	(¹)	New York City	To speak at the International Urban Adult Literacy Conference.
I5-0048	Roberts, Linda	Senior Associate	10/12-10/12	(¹)	Boston	In relation to AAAS-Science Forum.
I5-0106	Roberts, Linda	Senior Associate	11/4-11/5	(¹)	New York City	To attend the Sloan Foundation Seminar on use of Technology for education outside of schools.
I5-0276	Roberts, Linda	Senior Associate	2/26-2/29	(¹)	Boston	To attend the seminar "Exploring Interactivity".
I5-0045	Robinson, Elizabeth	Analyst	11/4-11/10	381.65	Albuquerque	To attend the Climate Change and Water Resources Management Conference. Sessions will include present-day planning in water resources for climate change.
I5-0303	Robinson, Kelly	Fellow Finalist	3/23-3/25	290.00	Washington, D.C	Congressional Fellowship Finalist—1992.
I5-0336	Roehrig, Ginger	Research Assistant	4/18-4/22	284.10	Boston	To attend risk assessment conference.
I5-0381	Roehrig, Ginger	Research Assistant	5/5-5/7	372.60	Raleigh/Durham	To visit research laboratory at the Environmental Protection Agency's NIEHS facilities in Research Triangle Park for risk assessment.
I5-0549	Roehrig, Ginger	Research Assistant	9/8-9/10	457.00	Raleigh/Durham	To interview scientist at government research agencies in Research Triangle Park.
I5-0418	Roy, Robin	Senior Analyst	8/30-9/7	536.00	San Francisco	To present a paper and attend the ACEEE 1992 study on Energy Efficiency in Buildings.
I5-0419	Roy, Robin	Senior Analyst	5/31-6/1	91.35	Salem	Site visits to Salem and Hope Creek nuclear power plants with Contractor in conjunction with OTA's on-going nuclear assessment.
I5-0440	Roy, Robin	Senior Analyst	6/1-6/1		Calvert Cliffs	To site visit to Calvert Cliffs nuclear power plant in conjunction with OTA's ongoing assessment on Nuclear.
I5-0477	Roy, Robin	Senior Analyst	6/24-6/25	249.18	New York City	Site visit to Shoreham nuclear power plant decommissioning project. Possible mtg. w/Brookhaven Nat. Lab Nuclear Aging research team.
I5-0558	Roy, Robin	Senior Analyst	9/22-9/24	578.43	Denver	Site visit to Fort St. Vrain nuclear power plant, meetings with Colorado state officials in support of nuclear assessment.

15-0006	Roy, Robin	Senior Analyst	10/23-10/25	450.96	Atlanta	To speak at Association of Energy Engineers Annual Conference on Federal Energy Efficiency.
15-0058	Rubin, Suzie	Research Analyst	11/10-11/13	738.08	Atlanta	To attend the annual meeting of the American Public Health Association.
15-0035	Sargent, Catherine	Research Analyst	10/25-10/26	357.80	Boston	To attend Genes and Human Behavior Symposium, Harvard Medical School.
15-0567	Schmidt, Jennifer	Analyst	9/16-9/18	490.93	Kansas City	Site visit for Addiction Report. Visit two substance abuse prevention/intervention programs.
15-0329	Scott, Kelley	Analyst	4/20-4/21	253.65	Atlantic City	To attend the FAA Tech Center trip in Atlantic City.
15-0390	Scott, Kelley	Analyst	5/26-5/27	435.67	Hampton, VA	To go on a 2-day tour of NASA-Langley Research Center.
15-0486	Scott, Kelley	Analyst	7/12-7/16	809.89	San Francisco	To visit labs and researchers at NASA-Ames Research Center and National Center for Atmospheric Research (NCAR) in support of the aviation R&D project.
15-0274	Sims, John	TAAC Member	3/17-3/19	852.04	Washington, D.C. ...	To attend meeting of Technology Assessment Advisory Council.
15-0543	Sobin, Rodney	Analyst	10/23-11/7	1,213.00	Jakarta	To participate in U.S. environmental technology and business development mission sponsored by U.S.-Asean Council for Business and Technology.
15-0219	Sobin, Rodney	Analyst	2/6-2/9	(1)	Kuala Lumpur Singapore Pittsburgh	Speak at and participate in Carnegie Mellon Univ. Student Pugwash USA Conf. "Closing the Circle: Sustainable Development".
15-0281	Sobin, Rodney	Analyst	3/14-3/21	1,020.72	Vancouver	To participate in Globe '92 Conference to gather information for the Trade and Environment assessment.
15-0476	Spelius, Chris	Research Analyst	6/22-6/28	1,609.70	Los Angeles	To attend the Seybold Seminar on computer use in media creation and communication.
15-0075	Spelius, Chris	Research Analyst	11/1-12/1	734.25	Los Angeles	To meet with various software companies re literacy.
15-0574	Staff, TIS	9/24-9/26	Palo Alto Berkeley Spring	To attend Program Retreat to discuss goals of program.
15-0577	Staff, SET	9/30-10/1	198.65	Harpers Ferry	To attend Program Retreat to discuss goals of program.
15-0576	Staff, E and M	9/15-9/16	410.00	Berkeley Spring	To attend Program Retreat to discuss goals of program.
15-0447	Staff, ISC	6/3-6/4	105.00	Charleston	To attend Program Retreat to discuss goals of program.
15-0584	Staff, O and E	9/29-9/30	1,377.00	Solomons Island	To attend Program Retreat to discuss goals of program.
15-0132	Staff, OTA	11/19-11/21	1,137.50	Queenstown, Md. ...	To attend OTA's senior staff retreat to discuss goals of OTA.
15-0555	Staff, BAP	9/24-9/25	736.72	Solomons Island	To attend Program Retreat to discuss goals of program.
15-0560	Trout, Linda	Librarian	9/14-9/17	558.39	Chicago	To attend Dialog Update 1992 for continuing online education.
15-0017	Tucker, Jonathan	Analyst	10/1-10/6	1,68.50	Paris	To interview French government and defense-industry officials on French defense industrial base policy.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0308	Tucker, Jonathan	Analyst	3/22-3/26	816.64	Monterey Livermore San Francisco	To conduct interviews with academic and governmental experts on the Proliferation of Weapons of Mass Destruction.
I5-0341	Tucker, Jonathan	Analyst	4/12-4/17	717.03	Albuquerque Los Alamos	Visits to Los Alamos and Sandia National Laboratories to discuss proliferation of weapons of mass destruction.
I5-0421	Tucker, Jonathan	Analyst	6/18-6/18	(¹)	Cambridge	To attend MIT workshop on U.S.-Japan defense collaboration.
I5-0579	Vischi, Thomas	Fellow	9/17-9/17	377.00	Kansas City	Site visit for Addiction report. Visit substance abuse prevention/intervention programs.
I5-0311	Wagner, Judith	Senior Associate	4/15-4/20	847.15	San Francisco	Traveling to Stanford University for information on the Osteoporosis project to discuss screening model.
I5-0368	Wagner, Judith	Senior Associate	5/14-5/16	385.50	Chicago	Traveling to the American College of Surgeons for meeting on topics related to defensive medicine project.
I5-0546	Wagner, Judith	Senior Associate	8/26-8/30	1,118.95	San Francisco	To attend the 5th International Symposium on The Impact of New Imaging Technology on Worldwide Health Care, Research and Teaching.
I5-0131	Wagner, Judith	Senior Associate	11/19-11/21	(¹)	Boston	Speech at conference on pharmaceuticals at MIT.
I5-0160	Wagner, Judith	Senior Associate	1/3-1/5	523.84	New Orleans	To participate in the American Economic Association.
I5-0239	Wagner, Judith	Senior Associate	2/19-2/22	1,800.00	Philadelphia	Will be giving a talk at the Wharton School Conference on drug pricing and public policy.
I5-0260	Wagner, Judith	Senior Associate	2/25-2/27	138.00	Boston	Meeting with Genzyme, Inc. to go over their production and R&D costs for the injectible drug alglucerase used in the treatment of Gaucher's Disease, as it relates to the project on government policies and pharmaceutical research and development.
I5-0061	Walsh, Marie	Analyst	10/27-10/29	(¹)	Minneapolis	Attend a meeting on Agricultural Biotechnology with NCR-142.
I5-0088	Waychoff, Christopher	Analyst	10/31-11/1	(¹)	Oklahoma City	To attend Congressional Hearings conducted by the House Armed Services Committee panel on Structure of the Defense Industry.
I5-0304	Weber, Donald	Fellow Finalist	3/23-3/25	171.63	Washington, D.C. ...	The panel is using the OTA study, Redesigning defense as the basis for a series of hearings.
I5-0488	Weinberg, Matthew	Analyst	7/13-7/19	1,127.16	Boston	Congressional Fellowship Finalist—1992. Present paper at Nat'l Academy of Engineering Symposium on "Industrial Ecology".

15-0527	Weinberg, Matthew	Analyst	8/8-8/17	1 444.66	Spokane	To participate in the Colorado School of Mines Energy and Minerals Field Institute Fifteenth Annual Summer Program.
15-0126	Weinberg, Matthew	Analyst	12/8-12/10	276.14	Boston	To make a presentation on OTA's green design assessment at the Design Management Institute's Conference on the Environment.
15-0439	Weissler, Robert	Senior Analyst	6/9-6/9	(¹)	New York	Help lead study session on trade and environment held by the Council on Foreign Relations.
15-0431	Westermeyer, William ..	Senior Analyst	6/12-6/16	1 585.05	San Francisco	To make a presentation on "Bioremediation: A New Tool for Oil Spill Response?" at the International Offshore and Polar Engineering Conference.
15-0464	Westermeyer, William ..	Senior Analyst	7/18-7/25	724.04	Boulder	To participate in 2 back-to-back OTA workshops on climate change at the Foothills Laboratory. The first workshop is on water resources and the second is on western land management.
15-0002	Westermeyer, William ..	Senior Analyst	10/28-10/31	572.00	Austin	To be a panelist at the "Clean Gulf '91: Oil Spill Prevention, Response, and Technology Conference," sponsored by the Texas General Land Office.
15-0101	Westermeyer, William ..	Senior Analyst	11/5-11/7	(¹)	New Orleans	Make a presentation on "Bioremediation for Marine Oil Spills" at the Minerals Management Service's 12th Annual Information Transfer Meeting.
15-0175	Westermeyer, William ..	Senior Analyst	1/11-1/16	487.21	Boston	The Center for Global Science at MIT is sponsoring a conference on "The World at Risk: Natural Hazards and Climate Change".
15-0332	White, Robin	Analyst	8/3-8/16	2,367.06	Honolulu	To attend the 1992 Annual Meeting of the American Institute of Biological Sciences.
15-0367	White, Robin	Analyst	4/29-4/30	100.40	Solomons Island ..	Attend a workshop on international forestry, given by USFS.
15-0387	White, Robin	Analyst	6/27-7/2	530.72	Blacksburg	To attend the 1992 Annual Conservation Biology meeting.
15-0526	White, Robin	Analyst	8/6-8/16	414.11	Honolulu	Meet with persons in relation to new assessment on Aquaculture.
15-0570	White, Robin	Analyst	9/16-9/20	649.54	Tampa	To visit aquaculture facilities in Florida.
15-0575	White, Robin	Analyst	9/23-9/27	708.85	Little Rock	To visit aquaculture facility in Arkansas.
15-0578	White, Robin	Analyst	9/28-9/28	40.88	Frederick	To visit aquaculture facilities in northern Maryland.
15-0032	White, Robin	Analyst	10/20-10/26	1,042.35	Madison	To attend the 2nd National Meeting of the Neotropical Migratory Bird Conservation Program.
15-0255	White, Robin	Analyst	4/17-4/26	1,121.00	San Diego	To attend the 1992 Annual Meeting of the Association of American Geographers.
15-0344	Williamson, Ray	Senior Associate	5/4-5/5	1 173.89	Boulder	To interview scientists at WAVE Propagation Laboratory, National Oceanic and Atmospheric Administration.

TRAVEL EXPENSES FOR FISCAL YEAR 1992—Continued

Reference No.	Name of traveler	Title	Dates	Cost	Destination	Purpose
I5-0585	Williamson, Ray	Senior Associate	9/23-9/27	726.23	Albuquerque	To attend briefings at Sandia and Los Alamos National Labs.
I5-0472	Williamson, Ray	Senior Associate	6/30-6/30	1 224.29	Sante Fe Albuquerque	To visit the University of New Mexico Technology Applications Center and Ebert and Associates, a value-added remote sensing firm.
I5-0009	Williamson, Ray	Senior Associate	10/5-10/14	1,123.75	Montreal	To attend the International Astronautical Federation Meeting.
I5-0062	Williamson, Ray	Senior Associate	10/29-10/31	614.89	Huntsville	To deliver a talk at Space Summit '91.
I5-0222	Williamson, Ray	Senior Associate	2/9-2/11	1 16.13	Chicago	To deliver talk at AAAS meeting about OTA's Background Paper on NASA's Office of Space Science and Applications.
I5-0285	Williamson, Ray	Senior Associate	3/9-3/11	604.66	Oklahoma City	To attend a meeting on Remote Sensing on Agricultural Decision-making at the University of Oklahoma.
I5-0357	Winston, Joan	Senior Analyst	5/5-5/7	574.01	New York City	To attend "Integrated Online Library Systems '92" conference.
I5-0014	Winston, Sheryl	Research Assistant ..	10/1-10/6	570.20	Dallas/Fort Worth ..	To attend Fifth Annual North American Cystic Fibrosis Conference.
I5-0382	Wolfe, Leah	Analyst	6/12-6/20	711.97	Vancouver	Attend the 1992 ISTAHC conference, which presents information on evaluating technology assessment performed by governments.
I5-0454	Wolfe, Leah	Analyst	6/22-6/26	406.35	Portland	Will be meeting with Maine officials from the government and medical, legal and insurance profession who were involved in creating the new malpractice experiment that is now going on in Maine.
I5-0079	Wolfe, Leah	Analyst	11/10-11/13	515.10	Atlanta	To participate in the American Public Health Association meeting.
I5-0105	Wolin, Jessica	Research Assistant ..	11/4-11/8	1,284.03	Miami	To attend the Global Assembly of Women and the Environment, to discuss the OTA drug study.
I5-0552	Wood, Fred	Senior Associate	9/13-9/27	1,913.26	Los Angeles	Site visits and interviews for the Federal Telecommunications for the 21st Century project.
					Sacramento San Francisco Visalia	
I5-0363	Wood, Fred	Senior Associate	5/26-6/4	1,122.96	Coeur d'Alene	Participate in National Criminal Justice Assn. annual mtng. in Coeur d'Alene, Idaho; to conduct site visits and field research on electronic service delivery for "Federal Telecom. in the 21st Century study," including visits to the Flathead Indian Reservation, Crow Indian Reservation, Big Sky Telegraph, and Wyo Card demonstration project.
					Missoula Dillon Billings Sheridan Cheyenne	

15-0490	Wood, Fred	Senior Associate	7/29-8/12	3,059.84	Anchorage	On site visit to Alaska for Federal Telecom Study.
					Fairbanks	
					Kotzebue	
					Olympia	
					Seattle	
15-0208	Wooley, Stephen	Senior Associate	1/24-1/31	1,004.23	Los Angeles	Briefings at Hughes Aircraft, Santa Barbara, CA, Jet Propulsion Labs, Moffett Field.
					Santa Barbara	
					San Francisco	
15-0316	Wye, David	Senior Associate	3/23-3/24	174.25	New York City	To attend a presentation at Columbia University on "Digital Audio Broadcasting (DAB) Implications for the Future of Radio Broadcasting.
						casting.
15-0114	Wye, David	Senior Associate	11/20-11/22	515.53	Boston	To attend a seminar for the Kennedy School of Govt. "Service to the Citizen" a Workshop on the Strategic Uses of Technology.
15-0375	Young, Mark	Senior Associate	5/14-5/17	161.50	New York City	Attendance at Columbia University's conference on "Private Networks and Public Objectives" in New York City.
15-0506	Young, Mark	Senior Associate	7/23-7/23	302.53	Newark	Attend meeting with the Chubb Insurance Co. to discuss international networks.
15-0573	Young, Mark	Senior Associate	9/24-9/25	90.25	New York City	To attend conference on Private Networks and Public Objectives.
15-0092	Young, Mark	Senior Associate	11/16-11/24	2,436.14	Prague	Attend the International Telecommunications Union Conference on Eastern European telecommunications development.
15-0207	Young, Mark	Senior Associate	1/24-1/24	136.50	New York City	Attend workshop at Columbia University "Private Networks Public Objectives".
15-0236	Young, Mark	Senior Associate	2/12-2/12	320.00	Morrestown	Series of Interviews at AT&T.
15-0415	Young, Mark	Senior Associate	5/17-5/20	651.09	Atlanta	Attend the International Communications Association Conference.

¹ Fully or partially reimbursed.

Question. What would be the effect of a five, ten and fifteen percent reduction below your current base?

Answer. The following table outlines the financial impact of each level of reduction. The impact of these reductions would be to reduce OTA production by approximately the same percentage reflected in the row titled Actual Percent Reduction Over Fiscal Year 1993. Based on OTA's average salary and current ratio of personal compensation to the total appropriation we have identified the approximate number of positions that would be eliminated. At the higher reduction levels it is questionable if OTA could meet its statutory function.

OFFICE OF TECHNOLOGY ASSESSMENT IMPACT OF VARIOUS PERCENT REDUCTIONS

[Dollars in thousands]

	Five percent	Ten percent	Fifteen percent
Fiscal year 1993 appropriation	\$21,025	\$21,025	\$21,025
Reduction based on percentage	\$1,051	\$2,103	\$3,154
Fixed increases:			
Annualization of January 1993 COLA	\$129	\$129	\$129
Merit pay increase	\$407	\$407	\$407
Health benefit cost increases	\$38	\$38	\$38
Other price level increases	\$220	\$220	\$220
Total fixed increases	\$794	\$794	\$794
Reduction to be absorbed ¹	\$1,845	\$2,897	\$3,948
Actual percent reduction over fiscal year 1993	8.8%	13.8%	18.8%
Amount absorbed from:			
Compensation (74 percent)	\$1,365	\$2,144	\$2,922
Other than compensation (26 percent)	\$480	\$753	\$1,026
Position reduction based on OTA's average salary	21.2	33.3	45.4
Percentage reduction in staff	10.1%	15.9%	21.6%

¹ Excludes January 1994 cost-of-living and locality pay adjustments. The January 1993 COLA, merit pay and health benefit increases would decrease as staff is reduced however, terminal leave and unemployment compensation payments would exceed these reductions.

QUESTIONS SUBMITTED BY SENATOR CONNIE MACK

OVERALL REDUCTIONS

Question. As you know, the joint leadership of the Congress has called for a 4 percent reduction in Legislative Branch personnel over two years and a 14 percent reduction in administrative expenses for Congress over the next four years.

The proposed personnel reduction would reduce your full-time permanent positions by approximately six positions over the two years. This reduction is less than the fiscal year 1986 Gramm-Rudman-Hollings sequester of 4.3 percent.

Do you view this as a manageable reduction? In fact, couldn't we take the entire 4 percent in the first year and increase our savings?

Answer. OTA is authorized 143 permanent staff positions and hires an additional full-time equivalent of approximately 68 temporary employees. Temporary staff is hired to support particular assessments as well as 16 employees that replaced our former support service contract. Our permanent staff is vital in coordinating and managing our assessments. We would propose that any staff reductions come from temporary positions. Based on a total of 211 FTE's, OTA would be required to eliminate 8 employees. This becomes very difficult for a small agency without a corresponding reduction in production, which is probably why the executive branch has exempted agencies with less than 100 employees. Furthermore, on-going assessments would make it extremely difficult to absorb the total reduction in one year.

Question. How would you implement the 14 percent reduction in expenses?

Answer. It is our understanding that the 14 percent reduction in administrative costs would be applied against a base that excludes rental payments, equipment purchases and those costs that directly support the mission of the agency. We have identified \$1,273,000 of administrative costs that are not charged directly to assessments. These costs include miscellaneous publications \$42,000, travel \$88,000, post-

age \$95,000, equipment rental \$103,000, telephone and communication services \$145,000, supplies \$239,000 and contractual services \$561,000. OTA has eliminated all expenses that are not in direct support of assessments which would not have a negative impact on production. We have sought to implement efficiencies and cost-saving measures wherever possible to utilize our resources as effectively as possible. Since we have been doing this for some years, there is very little room for additional savings other than through program reductions.

COLA FREEZE

Question. The President has proposed that there be no cost-of-living adjustment next year. What would this save in personnel costs and benefits for your agency?

Answer. The elimination of the 2.2 percent January 1994 COLA would save \$223,000 in salaries and benefits costs in fiscal year 1994. The elimination of the locality pay adjustment, estimated at 2.9 percent, would save an additional \$301,000 in fiscal year 1994.

TECHNOLOGY ASSESSMENT BOARD SUPPORT

Question. I am informed that each of your Technology Assessment Board members may put a designated individual on the OTA payroll for any period of time or salary that the member chooses, so long as the annual cost to OTA does not exceed \$24,473.00 in salary and benefits. I believe a provision was made for this in your original authorization.

What functions do these individuals perform for OTA?

Answer. These individuals perform a wide variety of staff support functions including the following:

- Reviewing proposed assessments
- Reviewing draft assessments
- Warding off mandated assessments
- Advising the director on the position of their Member
- Implementing Board decisions by advising OTA of the supervisory position of Board member
- Staffing regularly scheduled Board/OTA meetings
- Assist in deferring or eliminating requested assessments when resources are not available
- Support and analysis of Board management decisions
- Coordinating between Board members
- Addressing public inquiries
- Other general and legislative functions that OTA analytical staff cannot perform.

Question. Are they housed in your office space or the individual member's space?

Answer. They are located in the Member's office.

Question. We could save \$293,676 if we ended this practice. What would be lost?

Answer. The elimination of this practice would place additional burden on the Members' office staff and weaken the Board's supervision and guidance. It should be noted that some Board Members do not use all or even part of this funding. In fiscal year 1992 \$227,985 was used.

CONGRESSIONAL BUDGET OFFICE

STATEMENT OF ROBERT D. REISCHAUER, DIRECTOR

ACCOMPANIED BY:

JAMES L. BLUM, DEPUTY DIRECTOR

GAIL DEL BALZO, GENERAL COUNSEL

STANLEY L. GREIGG, DIRECTOR, OFFICE OF INTERGOVERNMENTAL RELATIONS

C.G. NUCKOLS, ASSISTANT DIRECTOR FOR BUDGET ANALYSIS

POLLY E. HODGES, BUDGET AND FINANCE OFFICER

DAVID M. DELQUADRO, PERSONNEL OFFICER

MARK G. DESAUTELS, ASSISTANT FOR INTERGOVERNMENTAL RELATIONS

DANIEL F. ZIMMERMAN, CHIEF, SYSTEMS DEVELOPMENT AND RESEARCH UNIT

PREPARED STATEMENT

Senator REID. Dr. Reischauer, we appreciate your waiting for our colleagues Senator Hatch and Senator Kennedy. Without objection, your proposed statement will be placed in the record.

Senator BURNS. Mr. Chairman, I have a statement that I would ask that it be placed in the record.

Senator REID. Of course.

Senator BURNS. Thank you.

[The statement follows:]

STATEMENT OF ROBERT D. REISCHAUER

Mr. Chairman and Members of the Subcommittee, I am pleased to present the fiscal year 1994 budget request for the Congressional Budget Office (CBO). CBO is a nonpartisan organization that furnishes the Congress with information and analyses on issues relating to the U.S. economy, the federal budget, and federal programs. CBO does not make policy recommendations, but presents the Congress with options and alternatives in a wide range of subject areas, all of which have economic and budgetary impacts.

For fiscal year 1994, we are requesting \$23,650,000, an increase of 4.9 percent, or \$1,108,000, over our estimated fiscal year 1993 operating level of \$22,542,000. Of our requested increase, \$1,035,000, or 93 percent, is for the mandatory personnel-related expenses needed to maintain our current staff ceiling of 226 positions. In spite of strong Congressional demand for, and continuing legislative mandates requiring, CBO work, no additional positions are being sought at this time. The remainder of the increase, \$73,000, is for price increases in various automated data processing (ADP) and administrative areas. No workload or equipment increases are included in this request.

Before discussing our request in detail, I will review for the Committee the principal services that CBO provided the Congress during this past fiscal year.

CURRENT CBO SERVICES TO THE CONGRESS

The second session of the 102nd Congress proved to be a busy and productive time for CBO. In addition to its 19 formal, published reports in fiscal year 1992, and to its regular bill cost estimate and scorekeeping duties, CBO responded to Congressional requests for analysis in areas as diverse as the Strategic Defense Initiative (SDI) and student loan programs with a constant stream of papers, memorandums, and letters. CBO testified 41 times in fiscal year 1992 before 17 different Congress-

sional committees, demonstrating the broad range of CBO's analytic expertise. If anything, we expect fiscal year 1993 to be an even more demanding and productive time as we serve the 103rd Congress.

On the budget front, 1992 was the second fiscal year and third budget year under the Budget Enforcement Act (BEA). As in the two prior budget years, Congress hewed closely to BEA's standards in formulating a 1993 budget, carving even more savings from defense discretionary spending than was required. The Congress also rejected several attempts to tear down the firewalls last year, requiring that the savings forged in defense be applied to deficit reduction. However, the severity of the discipline imposed by BEA also became clear in budgeting for 1993, as most agencies and the Congress itself got little, if any, increased funding over fiscal year 1992.

Keeping to the discretionary spending limits again this budget year will be even tougher. We expect CBO's expertise to be called upon repeatedly to price out various budget options and to analyze new budgetary procedures as the Congress seeks to stretch limited resources, especially if the new Administration and the new Congress open discussions on a new long-range plan for reducing the deficit.

Though the Congress and the Administration proved unable to resolve their differences over further funding for the Resolution Trust Corporation, CBO continued to provide important analyses in this area. CBO testified on a number of occasions on the operation of bank and thrift regulators and resolution bodies and on the condition of their respective insurance funds. The agency provided analysis of the effects of increased insurance premiums on the banking industry and of the added costs caused by delay in closing insolvent thrifts. We will publish additional analyses in this area since the Congress and the new Administration will make this matter one of their first orders of business.

As we are encouraged to do in the Congressional Budget Act of 1974, CBO provided a number of reports that examined the effect of various types of federal spending on the economy. One dealt with S&L spending, which has little stimulative effect. Another report, just as timely, looked at defense conversion and the economic effects of reduced defense spending. More recently, as part of an ongoing series of reports that is helping to set the stage for the upcoming debate on the future of health care, we looked at the economic implications of rising health care costs. (A companion report documented the projections for federal spending in this area.)

In the last two years, CBO has done eight major studies dealing with health care and a number of more informal reports. We are currently at work on an analysis of the cost of major health care reform proposals, as well as other options to reform current practices. As a result, the agency is prepared to assist the Congress in the most efficient and effective way as the debate on health care begins. This issue will be high on the legislative agenda and we anticipate that it will make a substantial demand on our resources.

As the international economy continues to play a greater role in our country's future, CBO has focused on its wide-ranging effects. We are nearing completion of reports dealing with policy initiatives to ameliorate the economic plight of developing countries, with the North American Free Trade Agreement (NAFTA), and with re-employment assistance for workers who lose their jobs, including those displaced by foreign competition.

Along with the normal high level of analytic activity at CBO this year, there was an attendant level of organizational change as well. In July, following the retirement and untimely death of Alfred Fitt, our first General Counsel and well known by this committee, I appointed his assistant, Gail Del Balzo, as General Counsel. In September, I announced the appointment of Robert Dennis as Assistant Director for our newly renamed Macroeconomic Analysis Division (formerly the Fiscal Analysis Division). Short biographies of these new members of my executive staff can be found in the respective sections of the Justification Booklet.

Finally, a word about coordination with our sister support agencies in the legislative branch. CBO continues to work very closely with its sister agencies to prevent undesired duplication of analyses. All new project starts are closely coordinated by the analysts themselves. Further, new projects are also reviewed at the administrative level by the Interagency Coordination Group, and problem projects needing continued coordination are flagged for further review. All ongoing and proposed projects are listed with the Congressional Research Service's Research Notification System.

So that analysts in particular issue areas are familiar with their counterparts in sister agencies, and to exchange plans for upcoming analysis, the Interagency Coordination Group organizes about half a dozen specialist meetings a year. These meetings have been taking place since the mid-1980's and have proved very productive in increasing communication among agencies. In a healthy spirit of cooperation, agency heads also meet formally once a year to discuss issues of common concern.

Coordination has also spread beyond the purely analytic area to questions of technological support. CBO is a member of the Legislative Branch Telecommunications Network, which has spent a great deal of its time this year advising the Architect of the Capitol in implementing a fiber optic backbone network known as CAPNET.

Coordination continues to be of primary concern at CBO, and the systems currently in place for assessing agency overlap are working quite smoothly.

The Balanced Budget and Emergency Deficit Control Act of 1985

The Balanced Budget and Emergency Deficit Control Act of 1985 (the Balanced Budget Act) was amended in 1990 by the Omnibus Budget Reconciliation Act of 1990 (OBRA-90). While continuing the many tasks assigned to CBO by the original law, OBRA-90 also gave CBO a number of new tasks under Title XIII, the Budget Enforcement Act, which resulted in a major overhaul of the entire budget process.

First and foremost, CBO continues its current role in the sequestration process, though that process has itself been changed considerably. And although CBO's role continues to be advisory, the agency must still prepare very detailed reports involving even more complex calculations than in the past. CBO now prepares three sequestration reports each year, instead of two as in the past.

Our responsibility under the Balanced Budget Act for alerting the Congress to a recession or low economic growth—conditions that allow the Congress to consider suspending the Balanced Budget Act's spending constraints—was maintained by OBRA-90. Our current economic assumptions, while modest compared with other recoveries, do not include sufficiently low growth to warrant such notice.

The Balanced Budget Act also requires CBO to provide the Congress with a report on unauthorized appropriations and expiring authorizations. We file that report with the Congress on January 15 each year.

Finally, the Budget Enforcement Act gives CBO an enhanced role in preparing cost estimates for bills and in estimating the act's pay-as-you-go provisions with regard to proposals for future entitlement spending. In mid-October, we issued a "Final Sequestration Report for Fiscal Year 1993". CBO's own estimates would have resulted in the need for a \$1.4 billion pay-as-you-go sequestration—\$150 million of cuts in automatic spending increases and special rule programs and an across-the-board reduction of 0.8 percent in other nonexempt direct spending programs. However, CBO used the Office of Management and Budget's (OMB's) July update report as the basis of its calculations, as OMB reports provide the basis for any sequestration orders. According to these calculations, no fiscal year 1993 pay-as-you-go sequestration was required.

The Budget Act of 1974

The Congressional Budget Act of 1974, as amended, mandates that CBO prepare certain reports on a regular basis and that it undertake other studies in response to Congressional requests. Specifically, CBO carries out the following tasks: it maintains current tabulations of Congressional revenue and spending actions (scorekeeping); prepares five-year cost estimates for bills reported by the authorizing committees (and now on final passage as well); prepares outlay estimates for bills providing new budget authority; supplies information on tax expenditures and revenues; annually reports projections of new budget authority, outlays, and revenues for the coming five fiscal years; estimates the cost to state and local governments of carrying out or complying with federal legislation; prepares periodic forecasts of economic trends and alternative fiscal policies; and analyzes issues that affect the federal budget.

Scorekeeping

CBO provides the Congress with up-to-date tabulations of Congressional actions on revenue and spending bills. The Budget and Appropriations Committees particularly use these tabulations to measure the status of Congressional budget actions compared with the targets or limits specified in the concurrent resolution on the budget.

The bulk of CBO's scorekeeping activities involve spending actions. The spending side of the federal budget is complex, consisting of more than 1,000 separate accounts. Furthermore, the Congress acts each year on a large number of individual legislative bills that affect spending, including 13 appropriation bills. CBO's scorekeeping system tracks Congressional action on all these bills from the time they are reported from committee to their enactment into law. As a result, the CBO scorekeeping data base for budget authority and outlays is extremely complex, and keeping it current represents a major effort. This effort is all the more intense now that caps have been placed on discretionary appropriations through 1995. Also, our work in this area has intensified as a result of the changed budgetary treatment of credit activity.

CBO scorekeeping estimates are derived from our analysis of the President's budget, baseline budget projections, and bill cost estimates, as well as from the economic assumptions used for the concurrent budget resolution. CBO conducts a comprehensive review of its scorekeeping estimates at least twice a year to incorporate new information provided by OMB and other federal agencies, revised economic assumptions that the Budget Committees may adopt, and other relevant data.

Specially designed computer scorekeeping reports are provided weekly—and sometimes daily—to the Budget and Appropriations Committees. Frequent letters are also sent to the Chairmen of the two Budget Committees to advise them on current budgetary levels. In addition, advisory letters have been sent on request to the Chairmen of the Senate and House Appropriations Committees on the budgetary impact of individual appropriation actions, such as a supplemental appropriation bill or a continuing resolution. The CBO automated scorekeeping data base also provides special computer reports to the Appropriations Committees to use in preparing their "views and estimates" reports due on February 25, and in dividing budget resolution allocations among subcommittees.

CBO also prepares a weekly automated report on the legislative status of selected entitlement and other bills that would directly affect budgetary requirements. Similar reports provide information on the legislative status of bills affecting credit activities, bills providing required authorizations for requested appropriations, and proposed revisions of the Congressional Budget Act of 1974. Copies of these reports are provided to the staffs of the Appropriations and Budget Committees of both Houses.

Baseline Budget Projections

Each year, CBO prepares a new set of baseline budget projections. As in the past, the projections take as their starting point the budgetary decisions the Congress has made through its most recently completed session and show what would happen to the budget if no new policy decisions were made during the next five fiscal years. These projections do not represent a forecast of future budgets because the Congress does make numerous new policy decisions in response to changing national needs and economic circumstances. But the projections provide a useful baseline or benchmark against which proposed changes in taxes or spending policies may be measured and assessed. A longer-term framework is helpful in making annual budget choices, since these decisions sometimes have little impact on the budget in the short run. They do, however, significantly influence relative budget priorities over a period of several years.

Because the discretionary spending limits in the Budget Enforcement Act do not grow as fast as inflation, the baseline no longer represents current budgetary policy for discretionary programs in the out-years. Nonetheless, the baseline still serves several important purposes. It remains a reference point for estimating changes in revenues or entitlement spending for pay-as-you-go. The difference between the baseline and the caps for discretionary programs shows the amount of real spending reductions still to be made. And many of the adjustments to the discretionary caps are computed using the baseline.

CBO's capability to do budget projections has enabled the Congress to move more and more in the direction of multiyear budgeting. In the past, both Budget Committees have used CBO's baseline budget projections as a starting point for formulating their recommendations for the annual budget resolution. The CBO baseline spending projections are distributed to the Appropriations Committees and the authorizing committees as background information for preparing their "views and estimates" reports to the Budget Committees. The Budget Committees then use the CBO baseline projections in their budget resolution markup materials to assess how spending and revenues should be altered in the future to meet fiscal policy goals and national needs. Indeed, this ability is now essential to the Budget Committees as they seek to carry out the Budget Enforcement Act's requirement for five-year budget resolutions.

The CBO budget projections took on an added role in the 1980's. They now serve as the baseline for computing the spending reductions to be achieved in the budget reconciliation process. Moreover, CBO has made similar use of baseline budget projections in its bill cost estimates for calculating the costs or savings that would result from legislative proposals to change existing law. This process is particularly important for calculating the budgetary effects of changes in various entitlement programs, especially considering the new pay-as-you-go provisions.

The growing use of budget projections requires CBO to maintain a large multiyear data base on a year-round basis. CBO now provides both Budget Committees with numerous sets of five-year projections of revenues and spending throughout the year, usually in the form of computer tabulations. In addition, CBO publishes a five-

year budget projections report at the beginning of each session of the Congress and updates it each summer.

The current baseline deficit projection, formally released in a hearing before the Senate Budget Committee on January 26, 1993, projects a baseline deficit of \$310 billion in fiscal year 1993 and \$291 billion in fiscal year 1994, but rising to \$357 billion by 1998.

The concept of a budget baseline was incorporated into the Balanced Budget Act to determine the need for and magnitude of any across-the-board spending reductions that might be needed to meet specific deficit targets. When the act was amended in 1987, the baseline concept was modified to approximate more closely the methodology we use in our baseline projections. The major change was to include a factor for inflation and pay adjustments in projecting discretionary appropriations. The Budget Enforcement Act of 1990 further refined the baseline methodology to project more adequately the level of resources necessary to maintain current services for personnel-intensive activities, such as those that the legislative branch provides.

Analysis of the President's Budget

The Congressional Budget Office carefully reviews the budget estimates that the Administration submits to the Congress. Where necessary and appropriate, CBO reestimates the Administration's budgetary proposals using its own economic assumptions and technical estimating methods.

The economic assumptions the Budget Committees use to formulate the annual budget resolutions are sometimes different from the assumptions the Administration uses to prepare the President's budget. A different set of economic assumptions may significantly alter the budgetary impact of the President's proposals. Both Budget Committees periodically ask CBO to reestimate the President's budget using different economic assumptions.

CBO has an independent capability for estimating the impact of various budgetary proposals on budget outlays. To keep these techniques and methods as accurate as possible, CBO staff carefully monitor both actual spending trends, as reported monthly by the Treasury, and various program data series that provide information on recent trends in the use of federal benefits and services, the growth in beneficiaries, and other factors affecting federal spending. CBO uses these independent methods to reestimate the effect of the President's budgetary proposals. In recent years, these so-called "technical reestimates" have been significant.

In addition to reviewing carefully the Administration's budget estimates, CBO prepares an analysis of the President's budgetary proposals. The Senate Committee on Appropriations requests this publication annually to assist Members and staff in preparing for overview hearings on the Administration's annual budget. The report discusses the economic outlook for the next several years and the possible economic impact of the President's proposals. It also presents CBO's reestimates of the budget impact of these proposals, based on alternative economic assumptions and on CBO's estimating techniques and methods.

Federal Bill Cost Estimates

CBO prepares cost estimates for virtually every public bill reported by legislative committees in the House or Senate that would have a budgetary impact. CBO also prepares numerous cost estimates at committee request for use in earlier stages of the legislative process. CBO's bill cost estimates have become an integral part of the legislative process. Committees refer to them increasingly at every stage of bill drafting, and they affect the final shape of legislation.

The number of such bill cost estimates prepared each year varies, depending on the amount of legislation being considered and reported by legislative committees. In 1992, CBO prepared 733 federal cost estimates, as shown in Table 1.

A large part of CBO's bill costing in previous years was for the House and Senate committees receiving reconciliation instructions in the budget resolution. CBO's tracking system for bill cost estimates has treated work on the reconciliation proposals as if they were a few large bills. As a result, this system understates the true work load, shown in the figures in Table 1, for 1985 through 1990. Work on a reconciliation bill alone is equivalent to 100 or more bill cost estimates. Last year, the Congress did not consider a reconciliation bill.

TABLE 1.—NUMBERS OF BILL COST ESTIMATES (Formal and informal)

	1985	1986	1987	1988	1989	1990	1991	1992
Federal estimates	601	667	743	771	603	855	590	733
State and local estimates	533	588	531	675	470	720	510	614

In addition to cost estimates for bills the legislative committees report, CBO also provides the Appropriations Committees with estimates of outlays for all appropriation bills. These estimates of outlays are prepared for each appropriation account and are transmitted to the staffs of the committees largely in the form of computer tabulations. For example, many reports display both budget authority and outlay data in the Comparative Statement of Budget Authority formats the Appropriations Committees use. Judging by the number of inquiries that CBO receives, it is fair to say that our estimating function is by far the most extensive of any legislative body in the world. CBO is always pleased to furnish technical assistance to other bodies interested in following the U.S. Congress as a model.

State and Local Government Cost Estimates

The State and Local Government Cost Estimate Act, enacted in late 1981, temporarily expanded CBO's responsibilities for bill costing by requiring estimates of the cost that state and local governments would incur as a result of proposed federal legislation. The Balanced Budget and Emergency Deficit Control Reaffirmation Act made this requirement permanent.

CBO reviews as many bills as possible to identify their potential impact on state and local government costs. We focus on bills that, in our judgment, are likely to result in a total annual cost to state and local governments of at least \$200 million, or to have exceptional fiscal consequences for a geographic region or particular level of government. During 1992, CBO prepared state and local cost estimates for 614 bills. Of these bills, CBO estimated that 14 had an aggregate annual cost exceeding the \$200 million threshold, 57 were below the threshold but had some potential effect on the budgets of state or local governments, and 543 had no impact.

Economic Forecasts and Macroeconomic Analysis

Each fiscal year, CBO provides the Congress with two reports on the economic forecast. The first is issued early in the legislative session to coincide with Congressional consideration of the concurrent resolution on the budget. The second report is issued in midsummer.

CBO does not maintain its own macroeconomic model of the economy. Instead, it uses major commercially available econometric models to help forecast both the domestic and international economy, an increasingly important variable when predicting the nation's economic outlook. The models currently in use represent a broad range of assumptions about how the economy works and comprise Data Resources, Inc.; the Washington University Macroeconomic Model; the McKibbin-Sachs Global Model, developed by Warwick McKibbin and Jeffrey Sachs; and INTERMOD, developed at the Canadian Ministry of Finance.

We also rely on the advice of a distinguished panel of advisers who represent a wide spectrum of economic views. The panel meets semiannually, before a new forecast is issued, and is supplemented with guests possessing expertise in particular areas of interest. Appendix A to this statement lists the current members of the panel.

The reports issued in January and August of 1992 focused on recent economic developments, discussed fiscal and monetary policy, forecast short-term economic trends, projected long-term trends, and detailed the federal budget outlook under these economic assumptions. CBO must use various models of the economy to comply with the requirements of the Balanced Budget Act that we report to the Congress if we foresee a recession. With the growing internationalization of the U.S. economy, the task has become more complex, because it is increasingly important to monitor developments abroad as well as in the United States.

More and more, the Congress is concerned with the way in which fiscal policy, as well as specific federal programs, affects the overall economy. Recently, CBO has enhanced its analytic capabilities in such areas of Congressional interest as the financial condition of thrift institutions, international debt, national saving, and U.S. living standards. In 1992, in addition to two economic forecasts, CBO's newly renamed Macroeconomic Analysis Division published two analytical reports: "Economic Implications of Rising Health Care Costs" (October 1992) and "The Economic Effects of the Savings and Loan Crisis" (January 1992). Studies currently under way

include an analysis of the intergenerational effects of federal fiscal policies, the potential economic risks of defaults in the insurance industry, and an assessment of the decline in national savings in the 1980's.

Tax Analysis

With each new economic and budget baseline forecast, CBO provides the Budget Committees with a set of standardized tables providing considerable background detail on our baseline revenues and estimates of recent tax legislation. The Budget Committee staff members have found these tables most useful.

CBO also provides several sets of five-year baseline revenue estimates based on alternative economic forecasts developed by the staffs of both Budget Committees. Most of these are done to aid the staffs in preparing the budget resolution.

Revenue scorekeeping reports, with bill-by-bill detail, are sent biweekly, or as needed, to the staffs of the Ways and Means, Finance, and Budget Committees. The reports provide five-year estimates of the revenue effects of each tax bill on the legislative process and compare the cumulative revenue effects of enacted legislation with the targets set in the budget resolution. The revenue estimates shown in the reports are drawn from CBO cost estimate letters and are furnished to the tax-writing committees when each tax bill is reported.

In 1992, CBO published a report examining the economic and distributive effects of a value-added tax. Reports currently under way for possible publication in 1993 include a study of tax changes to stimulate private saving; an analysis of the various components of income—with emphasis on employer-provided fringe benefits and income from capital—and the recent changes in distribution; and the revenue effects of a U.S. direct expenditures, or consumed-income, tax.

Program Analysis

CBO's program divisions—Human Resources, Natural Resources, National Security, and the Special Studies Division—respond to requests from Congressional committees to analyze issues and options that help the Congress anticipate the consequences of legislative proposals. Four types of products illustrate the range of efforts carried out by the program divisions:

- Formal and informal cost estimates and other budgetary analytic work analogous to, or in support of, the efforts of the Budget Analysis Division. Much of this work involves developing simulation models to estimate the impacts of technical and other changes in legislation;
- Short-term policy analyses, usually to estimate the likely effects—other than costs—of proposed legislation;
- Longer-term analyses of broad issues, considering a full range of policy options (these projects typically result in published studies); and
- Testimony at Congressional hearings, which often follows from other work CBO has done.

The principal responsibility of the program divisions is to assist Congressional committees in examining the effects of legislative policy options on the budget. Over the years, CBO has responded to requests for analyses of key program issues from almost every committee of both Houses of the Congress.

In fiscal year 1992, CBO's program divisions completed 18 such reports for nine different Congressional committees—four in the House and five in the Senate—and for the Minority Leader in the Senate. Appendix B of this statement shows the distribution of all reports completed by CBO for Congressional committees in fiscal year 1992.

The subject areas of these reports have typically reflected the major budgetary issues before the Congress and the nation. Some recent studies of this type are "The Economic Effects of Reduced Defense Spending"; "Federal Options for Reducing Waste Disposal"; "Rural Hospitals and Medicare's Prospective Payment System"; and "Paying for Highways, Airways, and Waterways". Our program divisions support Congressional debate by organizing and presenting policy goals, often scattered among disparate programs in different budget functions and tax provisions, in a single analysis. In this way, the Congress can see more clearly whether its policies are having the intended effect.

Much legislation with purposes not closely related to the federal budget nevertheless has important budgetary and economic consequences. Many committees have shown a strong interest in the analysis of the effects of such legislation. These analyses often expand and complement information provided in a CBO cost estimate.

In 1992, CBO provided the Congress with several such reports, including "Environmental Cleanup Issues Associated with Closing Military Bases"; "Limiting Conventional Arms Exports to the Middle East"; "Universal Health Insurance Coverage

Using Medicare's Payment Rates"; and "Trade Restraints and the Competitive Status of the Textile, Apparel, and Nonrubber Footwear Industries".

In terms of direct support of the budget process by the program divisions, many CBO studies address the budgetary implications of changes in program emphasis or direction or changes in the carrying out of new initiatives. Committee interest in such analyses may be prompted by budget constraints or by the perception that existing programs may be inefficient or have outlived their original intent.

Recent CBO reports along these lines include "Auctioning Radio Spectrum Licenses"; "The START Treaty and Beyond"; "Structuring U.S. Forces After the Cold War: Costs and Effects of Increased Reliance on the Reserves"; "Costs of Alternative Approaches to SDI"; and "Reductions in the Army Officer Corps."

Based on current committee requests, CBO expects to produce between 15 and 25 published studies this fiscal year. We further assume that our level of activity in fiscal year 1994 will be similar to that of recent fiscal years. CBO's program divisions have remained remarkably stable in terms of staffing and funding since the inception of CBO. Through the years, they have accounted for approximately 32 percent of CBO's staff positions and about 32 percent of its funding.

Published reports represent only the most obvious example of the analytic support that the program divisions provide to the Congress. Short-term analysis in the form of staff memorandums and letters is provided regularly to committee staffs by the program divisions. In addition, as I have already mentioned, CBO is frequently called on by committees to testify. This testimony is often in connection with an ongoing or completed report, though we sometimes prepare new analyses for such appearances.

Finally, our program divisions have developed a number of sophisticated analytic computer models of federal programs. The output from these models is provided to our Budget Analysis Division (BAD) to use in its cost estimates, and program analysts frequently help revise or improve existing BAD models. This capability allows our program units to respond to requests that require sophisticated analytic treatment, such as simulating the effects of options on beneficiaries of federal programs. Similarly, the program divisions have developed models, both for the Budget Committees and authorizing committees, that estimate the costs and revenues of specific programs. The models are used by the committees to respond to proposals made during the markup of legislation.

The requests and demands made of our program units have not lessened under the Balanced Budget Act. To carry out its policy objectives during these times of severe fiscal constraint, the Congress is considering numerous new and innovative approaches in an increasing number of program areas. CBO is being asked to evaluate and analyze many of these proposals and to put them in a budgetary context. In addition, the Congress will need to continue to assess the programmatic and policy implications of budget reductions. The CBO program divisions have the resources in place to provide information as the Congress makes these important reassessments.

ORGANIZATION OF CBO

For management and administrative purposes, CBO is divided into seven divisions, plus the Office of the Director, the Office of the General Counsel, and the Office of Intergovernmental Relations. Although the functions of the divisions are unique, the work of each depends highly on that of the others, and I would like to take time today to share with you how this "crosswalk" works.

Three of our divisions—Budget Analysis, Macroeconomic Analysis, and Tax Analysis—primarily support the needs of the House and Senate Budget, Appropriations, Ways and Means, and Finance Committees for accessible, comprehensive, and technical budget and economic information. The other four divisions—Natural Resources and Commerce, National Security, Human Resources and Community Development, and Special Studies—provide key support, often early in the legislative process, to the budget and authorizing committees in analyzing various programmatic and policy options and their associated costs. To perform these tasks, each unit must collaborate with the others.

For example, the economic assumptions developed by the Macroeconomic Analysis Division serve as the basis for our cost estimating, projections, and analysis of issues. The budget numbers developed by the Budget Analysis Division often depend on methodological studies done in the program divisions. Finally, the cost analysts in the Budget Analysis Division review all numbers developed in connection with analytic studies. This crosswalk among our divisions is absolutely essential to our ability to provide accurate cost estimates and comprehensive analyses of alternative legislative strategies.

THE FISCAL YEAR 1994 REQUEST

As I indicated previously, Mr. Chairman, the increase being requested over the 1993 operating level consists mostly of personnel-related expenses. Fully funding this increase will just maintain CBO at its current staff-year level of 220, six positions below its authorized staff ceiling. Of the \$1,108,000 total increase being requested, \$1,035,000, or 93 percent, is for increased personnel compensation and benefits. The remaining \$73,000 covers price increases in a wide array of areas, including printing, commercial automated data processing (ADP), and administrative contract services. CBO's fiscal year 1994 budget request, a 4.9 percent increase over the fiscal year 1993 level, is a current-services budget identical to CBO's baseline calculation for the agency.

Personnel Costs

Escalating personnel costs continue to drive CBO's budget requests. In fiscal year 1994, the personnel component of CBO's budget has grown to 82 percent of the total, from 59 percent as recently as fiscal year 1985. Similarly, benefit costs in our 1994 request rise to 26 percent of total pay, more than double the rate of 11 percent in effect before the Federal Employees' Retirement System was enacted in 1986.

The total mandatory pay increase has several components. The annualization of fiscal year 1993's 3.2 percent employment cost index (ECI) adjustment—less than the executive branch adjustment of 3.7 percent—and merit pay increases raise costs \$404,000, while the 2.2 percent ECI adjustment for fiscal year 1994 adds \$289,000. Merit pay increases averaging a modest 3.1 percent of base salaries in 1994 account for an additional \$280,000. Benefit cost increases of \$65,000 make up the remainder.

Although we anticipate that the implementation of locality pay adjustments by the executive branch will further affect our salary levels, we have not included any increase for this in our current request, in recognition of the current budget constraints. Should this pay plan be fully implemented and begin to affect either our recruiting or retention efforts, then future requests may include the funds needed for CBO to remain competitive.

As you know, our fiscal year 1993 appropriation provides no increase over fiscal year 1992. The increases required to maintain funding for mandatory pay and benefit costs put enormous pressure on the other areas of CBO's budget. In order to keep our staff level at 220 staff years, we have substantially reduced our fiscal year 1993 spending below the fiscal year 1992 level in several major areas. These include ADP system updates and maintenance and ADP equipment purchases. The postponement of both of these types of purchases will hamper our ability to absorb future workload increases by reducing the productivity of our analysts. The remainder of the increases in the fiscal year 1994 request cover only price increases; we will continue to absorb workload increases as best we can.

Automated Data Processing Costs

ADP costs increase by less than one-half of one percent in the current request, or \$9,000, maintaining CBO's ADP costs as a percentage of our total budget at the lowest levels in the agency's history. ADP is 9.6 percent of our 1994 budget request, as compared with 28 percent of our budget in 1984. CBO is proud of having substantially reduced ADP costs over the past 10 years, while increasing productivity and overall computing resources. We have accomplished these savings by switching time-sharing mainframe applications to microcomputers, redesigning and reprogramming existing mainframe applications to take advantage of current technology, and carefully managing ADP resources. Also, over this period, House Information Services prices have never increased and actually have been reduced in several years. The requested increase represents price rises for ADP commercial time-sharing access and usage that average around 2.6 percent.

Systems, Data, and Model Development Costs

The systems, data, and model development component of our budget is used primarily to purchase and modify data needed to update existing models and to design new analytical models. Spending in this area is difficult to predict and depends on such things as the availability of data, the extent of legislative changes in any program, and the consideration of new programs by the Congress.

Some models are updated annually, and others must wait for less frequently available data, such as those from the decennial census. The fiscal year 1993 spending level of \$200,000 is 60 percent below the fiscal year 1992 level and funds only a minimum level of systems maintenance. Funding in the fiscal year 1994 request is maintained at the fiscal year 1993 spending level and excludes about \$100,000 in spending anticipated by the divisions.

Other Costs

Total administrative costs rise by 3.6 percent in our request, primarily because of larger-than-inflation increases for printing costs, administrative services provided by the Library of Congress and the National Finance Center, and periodical subscriptions. The requested increase also covers smaller price rises in a variety of goods and services, including utilities (1.1 percent) and miscellaneous services (2.2 percent), and holds travel and training at current levels. At the requested level, however, our 1994 administrative costs, adjusted for inflation, will be lower than fiscal year 1990 costs.

CONCLUSION

Mr. Chairman, as I stated at the opening of this statement, I believe this to be a most justifiable budget for CBO. It is a current-services budget, reflecting CBO's baseline methodology. Our budget request is driven by escalating personnel costs, although no new positions are being sought. It is, I believe, a budget without fat or excess, but one that is necessary if CBO is to continue to serve the Congress at the level of excellence it has come to expect. Thank you, Mr. Chairman.

APPENDIX A.—CBO PANEL OF ECONOMIC ADVISERS

- Barry Bosworth, Senior Fellow, The Brookings Institution.
 Andrew F. Brimmer, President, Brimmer & Co., Inc.
 Robert Dederick, Executive Vice President and Chief Economist, Northern Trust Company.
 Martin Feldstein, President, National Bureau of Economic Research.
 Benjamin M. Friedman, William Joseph Maier Professor of Political Economy, Harvard University.
 Lyle E. Gramley, Senior Staff Vice President and Chief Economist, Mortgage Bankers Association of America.
 Edward M. Gramlich, Professor of Economics and Public Policy, Institute of Public Policy Studies, University of Michigan.
 Lawrence R. Klein, Benjamin Franklin Professor Emeritus, Department of Economics, University of Pennsylvania.
 John Makin, Director, Fiscal Policy Studies, American Enterprise Institute for Public Policy Research.
 Rudolph Oswald, Director, Research Department, AFL-CIO.
 Rudolph G. Penner, Senior Fellow, The Urban Institute.
 George L. Perry, Senior Fellow, The Brookings Institution.
 William Poole, Professor of Economics, Department of Economics, Brown University.
 Jeffrey Sachs, Professor of Economics, Department of Economics, Harvard University.
 Paul Samuelson, Professor Emeritus, Department of Economics, Massachusetts Institute of Technology.
 Charles L. Schultze, Director, Economic Studies, The Brookings Institution.
 James Tobin, Sterling Professor Emeritus, Department of Economics, Yale University.
 Murray Weidenbaum, Director, Center for the Study of American Business, Washington University.

APPENDIX B.—*Summary of completed CBO reports by requester*

[October 1, 1991 to September 30, 1992]

<i>Requester</i>	<i>Number of Reports</i>
House Committee on Armed Services	4
House Committee on the Budget	2
House Committee on Foreign Affairs	1
House Committee on Ways and Means	2
Senate Committee on Appropriations	1
Senate Committee on the Budget	5
Senate Committee on Foreign Relations	1
Senate Committee on Finance	1
Senate Committee on Labor and Human Relations	2
Senate Minority Leader	1
Mandated by the Congressional Budget Act of 1974	3

APPENDIX B.—*Summary of completed CBO reports by requester*

Mandated by the Balanced Budget Act of 1985	5
Total	28

PRESENTING THE CBO BUDGET

Senator REID. You may outline in your statement and introduce those that are with you, if, in fact, you desire to do that. And then when you have completed your outline of your statement, we will proceed with the questions.

Mr. REISCHAUER. Thank you, Mr. Chairman.

I think I will forgo introducing my colleagues because I know you are short on time and you have a busy schedule.

It is a pleasure to be here to present my budget for fiscal year 1994. Before summarizing that budget, however, I thought it might be useful if I briefly explain what the Congressional Budget Office [CBO] does for the new members of this subcommittee.

As you know, CBO is a nonpartisan organization that furnishes Congress with information and analyses that relate both to the economy and the Federal budget. CBO does not make policy recommendations, but rather presents the Congress with options and alternatives. Below that level, however, many people do not know exactly what our organization does, and I thought I would just tick off the requirements. We have eight tasks that are required of us under the 1974 Budget Act.

CBO REQUIREMENTS

First, we scorekeep. We maintain current tabulations of congressional revenue and spending actions so that the Congress knows where it is relative to what the budget resolution requires.

Second, we prepare 5-year cost estimates for all the bills that are reported by authorizing committees. We did something on the order of 733 of these last year.

Third, we prepare outlay estimates for bills providing new budget authority; that is, appropriation bills.

Fourth, we supply information on tax expenditures and revenues.

Fifth, we prepare 5-year baseline projections of new budget authority outlays and revenues. These are our budget projections, which are published twice a year.

Sixth, we estimate the cost to State and local governments of carrying out or complying with Federal legislation. We did about 614 of these cost estimates last year.

Seventh, we prepare periodic economic forecasts of where we think the economy is going over the course of the next 2 or 3 years, and those forecasts are also published in biannual volumes.

Eighth, we analyze the various issues that affect the Federal budget.

CBO REQUIREMENTS UNDER THE BALANCED BUDGET ACT

CBO was also given four additional responsibilities by the Balanced Budget Act and various amendments to that act. The first of these tasks is that we must prepare three sequestration reports each year.

Second, we are charged with alerting the Congress under the low-growth provisions, and I did this three times in the last Congress. I told you that the growth of the economy was below certain levels that required the Senate to take action.

Third, we are required to prepare cost estimates for the pay-as-you-go scorecard to make sure that legislation on revenues and entitlements is not adding to the deficit, as required by the 1990 agreement.

Finally, we have to prepare an annual report on unauthorized appropriations and expiring authorizations.

All of these services are really essential for the orderly functioning of the congressional budget process. They are the nuts and bolts that allow the process to go forward, but they have an impact that extends far beyond the confines of Capitol Hill, and I wanted to illustrate this by noting the role that our deficit reduction volume, which we put out every year, played in the deficit reduction debate last year.

Ross Perot's plan to reduce the deficit represented, with very few exceptions, options that were taken from last year's copy of this book. OMB Director Richard Darman's explanation of how the Bush administration could meet its mandatory spending cap included a number of options: 200 billion dollars' worth of options from CBO's volume and only \$40 billion that the administration had come up with. In other words, we were the source that made that proposal credible.

In the third area, a number of citizens' groups in this country have mounted deficit reduction exercises, and almost all of these groups have used CBO studies. Recently, "60 Minutes" had a report on one of those groups, showing people around a table in Denver doing this deficit reduction exercise with CBO numbers.

I might add that the largest number of requests for our deficit reduction volume and our studies have come from the constituents from the State of Florida.

Senator MACK. I'm encouraged by that.

Mr. REISCHAUER. They are interested in this topic. We get hundreds of requests from groups in Florida who are interested in doing this kind of exercise. We share a constituency.

Senator MACK. We hear from those groups as well.

Mr. REISCHAUER. Finally, I think it is worth pointing out that many of the deficit reduction items that were included in the plan that President Clinton unveiled last week were similar to or taken from our various deficit reduction volumes.

THE ADMINISTRATION'S USE OF CBO NUMBERS

This might be a good point for me to bring up something that has made me a bit uncomfortable over the past few months—namely, some of the impressions that may have been created by the new administration's use of CBO numbers.

As I stated, many of the President's cuts are taken from or are similar to the cuts that are in our deficit reduction volume. The new administration, as you know, also used CBO's economic assumptions to prepare its budget plan. In addition, during the campaign, the President seemed to be fond of using CBO deficit num-

bers in his speeches. All of this has led some people to assume that CBO has done work for the new administration.

I want to assure you that that is not the case. Two words describe the Congressional Budget Office: Congressional and non-partisan. During the campaign and the transition, I made it clear—crystal clear—that anybody on the CBO staff who might have been interested in getting involved in any way in the campaigns of any of the candidates would have to sever his or her ties with CBO, and that individual would not be hired back by CBO.

Senator REID. Did anyone take you up on it? Did anyone leave?

Mr. REISCHAUER. No; the Perot campaign group had interest in the CBO staff. The focus of their campaign involved deficit reduction, and so a number of people on the staff received feelers about offers from the Perot campaign.

Senator MACK. Nobody has left since the campaign to go with the administration?

Mr. REISCHAUER. One individual did leave, after the inauguration.

Senator MACK. Who was that?

Mr. REISCHAUER. A man named Michael Deitch, who had been with CBO for 7 or 8 years doing infrastructural work and had been hired by the National Economic Council to do work on infrastructure there.

During the campaign, the three candidates were given no information that was not available to the general public. The transition received no special information from the Congressional Budget Office.

Moreover, once in office, the new administration received no types of information that weren't shared with OMB last year, the year before, or the year before that. We share a good deal of information back and forth, on a staff-to-staff level. That has continued, as it continued before the election, and we certainly hope and expect that it will continue in the future.

If one picks up the President's plan, one sees the word "CBO" almost as often as "OMB," and I wanted to give you some kind of assurance of how we stand on that.

Senator REID. I appreciate that.

BUDGET FOR THE COMING FISCAL YEAR

Mr. REISCHAUER. For the coming fiscal year, we are requesting \$23,650,000, which is a 4.9-percent increase above the operating level that we had this year.

Senator REID. How much of a percent?

Mr. REISCHAUER. 4.9 percent.

Senator REID. Right number, but it's in the wrong direction.

Mr. REISCHAUER. Do you mean that I get no credit for being the low man coming before you simply because the sign is wrong?

Of the requested increase, \$1.035 million, or 93 percent, is for the mandatory personnel-related expenses that we need to maintain our staff at its current level. The remaining \$73,000 covers price increases in nonpersonnel areas.

CBO's request is a current-services-level request. It is identical to the baseline for our agency. We are asking for no increases in workload or equipment or anything of that sort.

Also, once again, for the seventh year in a row, we did not ask for any increase in staff size, despite the fact that, as the budget issue is front and center, the pressures and demands that are on us have escalated tremendously.

I want to emphasize that this request, while it is high relative to what you might have to do, it is low relative to many of the other requests that you have been presented with, and we have exercised a lot of self-restraint—not enough, possibly.

However, dealing with the budget day in and day out, seeing how tight those budget enforcement caps are, we know the situation that you are up against, and we are doing our best to hold back the budget of our agency. Over the years, we have done, I think, a fairly good job of that considering the demands that have been placed on us, especially since 1985.

Senator REID. As I have indicated earlier, we don't have in mind to do an across-the-board cut for everyone a certain number, but it is something that we have to be concerned about.

We also recognize the added responsibilities that you have, and it would appear that there are going to be some significant cuts, one way or another, or at least attempt to.

And I also appreciate your laying out the fact that this is a non-partisan organization, and I think you should do everything you can to keep it that way. I think that's important.

Just in passing, if somebody from Nevada or Florida or Montana wrote for one of those, you would send them one?

Mr. REISCHAUER. Yes, I would.

Senator REID. For nothing?

Mr. REISCHAUER. One.

REQUESTS FOR CBO PRODUCTS

Senator REID. Each year, how many requests do you get? 10,000?

Mr. REISCHAUER. We printed 10,000 of these last year, and we ran out.

Senator REID. It's a real small item, but I would think that you should charge for those things. Everybody else does, but \$10,000 isn't going to make or break this organization.

Mr. REISCHAUER. In a sense, we have no ability to do that. If we were to charge, the money would go to the Treasury. We can't use such revenues in the sense of offsetting collections for our budget.

It is also worth remembering that we are a pretty small outfit, and we have a very, very lean nonprofessional, nonresearch staff. We are dealing with 37 nonprofessionals out of a staff of 220, and we all do our own typing, including myself.

We would have to set up a system to collect the money to do all of that, and we might end up spending more than we collected. It is a wrinkle that you might want to keep in mind.

Senator BURNS. We have the same problem in agriculture. If we take titles to grain on our subsidies, even though they take title out of it in a certain dollar amount, whenever they sell the grain, it goes into the Treasury, and they get nothing out of that. I always thought that was unfair because it would sure change the looks of those figures if they would change that accounting system.

Senator REID. It's clear that CBO and CRS are active sometimes in respect to the same subject matter. You heard the Acting Director of the OTA say that there is a coordination that takes place.

Explain this to me here, from your perspective, of how this coordination takes place.

COORDINATING WORK AMONG AGENCIES

Mr. REISCHAUER. We have a group that meets monthly, and the directors meet at least once a year. At the monthly meetings, group members discuss various projects that are coming up that might duplicate efforts that are going on in one of the other support agencies.

Also, when a request comes in to one agency, that agency calls up and notifies the other agencies and says, "Is there anything going on in this area that would duplicate?"

A number of times we get a request and we must simply say, "This really isn't in our mandate; it is not within our expertise". We suggest to the committee requesting it to go to one of the other support agencies.

We have a pretty narrowly defined mission. It is budget. It is the economy. And we have tried to stick to that knitting as much as possible. That is where our expertise is. What we were doing is really providing the information that allows the congressional budget process to work, and that allows it to be as credible as it is.

Senator REID. The question I have is that we have, it seems, to do a better job of integrating the activities of the support agencies. On any given day, it's possible to find all four different agencies testifying before one subcommittee or another on their findings and subjects that are very similar, and the cost of maintaining this analytic capability is not inconsequential. The current fiscal year, we appropriated \$435 million to GAO, \$57 million to CRS, \$21 million to OTA, and \$22 million to CBO.

It follows that reducing the demand on these agencies and perhaps redefining their missions to minimize overlap and duplication could produce some significant economies. I know that CBO's principal mission is to provide the Congress, and especially the Budget and Appropriation Committees, with impartial information and analysis with respect to fiscal policy in the budget. And I appreciate your efforts in this regard, as I think we all do.

But I also think the CBO is called upon to study and testify with respect to a wide range of subjects that, while they have a budgetary dimension, aren't directly tied to your central mission.

For example, among the accomplishments claimed for your Natural Resource and Commerce Division for fiscal 1992 are: financial institutions, several ongoing studies within the division deal with the problems of the bank, savings and loan institution with respect to Federal deposit insurance funds; energy and environment, a study analyzing Federal options for reducing municipal solid waste; public investment, a study that was published on the financing of public transportation facilities near highways and waterways.

What I'm saying is: Wouldn't it be possible to live with fewer resources if you reduced your level of effort in program areas like

these, especially where GAO or other agencies are, perhaps, more qualified or experienced with respect to the issue in question?

AREAS OF CBO EXPERTISE

Mr. REISCHAUER. Let me just deal with a couple of those examples.

The work that we have done in the area of financial institutions has been directed at improving our ability to estimate the costs of the deposit insurance programs, the savings and loan bailout, the banking and insurance problem, and understanding what it was about our old system of deposit insurance that led to such tremendous costs, and what various reforms would do to lower the costs in the future.

To help resolve those issues, we have worked very closely with the House and Senate Banking Committees on studies in these areas, but they have really been designed to reform the deposit insurance program and to help estimate the costs of the past failures in those areas.

Senator REID. Couldn't you have gotten the same information from looking at the GAO studies that they did? They did numerous studies on the savings and loan issue.

Mr. REISCHAUER. The General Accounting Office and the Congressional Budget Office have not always come to the same conclusion about the cost of this matter. We have to have the capacity to feed information into our budget projections, and we have to have deposit insurance numbers in there. Further, those numbers have to be ours. They have to be based on our estimates, on our models of this sector of the budget. We cannot look around town.

Senator MACK. You're not really looking around town. You're looking to another arm of the Congress to get a number. I grant you that the issue you are talking about is very intricate, and I suspect that, if you had five different groups looking at it, you would come up with five different numbers.

But again, this goes back to the point about focusing and having to set priorities, which things really can, in essence, be done in-house by your folks that are targeted and focused on the issue of its impact on the budget.

I don't disagree with you, that you could make the argument that that's something you ought to be doing, but given the restraints that are put on your dollars, you ought to be asking yourself where are the areas that we can focus, where are the areas that we can get outside information that we can make a reasonable analysis of where we are going from here.

Senator REID. Just so you can respond to the same question, granted that GAO may not always come to the same conclusion that you do, but we have talked about that there is the ability—and there should be—of these different organizations to coordinate activities.

I can't believe that you couldn't get what you need out of GAO, and maybe you need to look a little more at a certain area. That doesn't seem to me that you need to study what is wrong with the savings and loan and GAO to study what's wrong with it and CBO.

Mr. REISCHAUER. We are studying the problem from two perspectives: What is the impact on the budget, and what is the impact

on the economy. The savings and loan problem, by our estimate in 1990 dollars, is going to cost the American taxpayers \$180 billion. That is not spare change. It represents a major component of our spending over this period. As the budget agency we should be able to analyze those issues.

There is also the major question of how much of an impact this has had on our economy, and I don't think anybody has done a study of that, except our office.

Senator REID. Question: Can we get GAO out of it, then? Somebody has to make these decisions. We don't have the money. We have cut the frank. We are through there, and we have done all we can there. There is no more gravy there.

Mr. REISCHAUER. Let me say that we have built up our capacity in 1989 and 1990 in this area, and our capacity is not huge. We are talking about three people, maybe $3\frac{1}{2}$ people—hardly a massive effort. We built up our expertise because there was a problem.

If the RTC is provided with the resources that it needs to finish the job, if the banking situation improves, as it has been over the past year, my expectation is that we will reduce our effort in that area.

Moreover, that does not mean that some other area will not be exploding. We move up and down in the amount of resources we devote to various topics.

Senator REID. Remind me of the total employees you have.

CBO PERSONNEL AND WORKLOAD

Mr. REISCHAUER. Roughly 220 people on-board at any one time. We have a limit of 226.

Senator REID. Gentlemen, you see the General Accounting Office has about 5,000. You really don't have many people.

Mr. REISCHAUER. No, we don't. And they are almost all people who are doing either estimates that feed into your budget decisions and your budget process or doing what I would call research and development work. We have people doing work on health care that is necessary to understanding how health care reform works. It is necessary so that we can estimate what managed competition would save, what a cap on expenditures would save.

Senator REID. Do you contract out much stuff?

Mr. REISCHAUER. Almost nothing.

Senator REID. OTA contracts out a lot.

Mr. REISCHAUER. We get data from some outside groups sometimes, or we have somebody clean data, but we don't have studies done by people on the outside. They are all done by CBO.

Senator REID. You really do a lot with a few people.

Mr. REISCHAUER. We are flat out all the time, and I wouldn't have it any other way. If you offered me 10 more people, I don't want them.

Senator REID. OTA has about 250, and they contract out much of the work they do. GAO has 5,000.

Senator MACK. I have worked with the CBO for 10 years, I guess. I was on the Budget Committee in the House, so I know what you're up against.

Senator REID. I have no more questions.

Senator MACK. I just have a couple of questions, and I think that will do it.

You can tell by the reaction to the State of the Union Message that there is a disagreement about the bipartisan nature of the CBO.

Mr. REISCHAUER. We are nonpartisan. We are not bipartisan.

Senator MACK. All I'm saying to you is—and you could tell by the reaction at the State of the Union—that there is a difference of opinion, and I think it is something that we all need to be sensitive to because it is important that your credibility be maintained.

The last point that I would make—and it is, in a sense, kind of in the form of the question—CBO baseline is kind of what we have all used as kind of the benchmark of whether it's going to cost more, cost less in savings.

My understanding is—and clear this up for me—in President Clinton's budget and economic plan that he is talking to the country about, is that the CBO baseline, as I knew it, last year?

Mr. REISCHAUER. No; it is a different concept from the CBO baseline.

Senator MACK. He has, in essence, told the country that he has taken the CBO's numbers, and it's been much closer. He's hung you guys out there as being the one that these numbers are based on, and what you're telling me is that this proposal that's out there is not CBO's baseline.

CBO'S BASELINE AS DISTINCT FROM THE ADMINISTRATION'S BASELINE

Mr. REISCHAUER. What he has said is that they are using CBO's economic assumptions to price out their proposal. Their concept of the baseline differs from the two concepts we have put forward. We have put forward what is called the "capped baseline," which is a baseline that assumes the Congress sticks to the 1994 and 1995 discretionary spending caps. And after 1995, the discretionary amounts increase with inflation.

Senator MACK. What are they using?

Mr. REISCHAUER. There is another concept of a baseline, which is called an "unconstrained baseline," which is what the budget would be if discretionary spending were allowed to increase in 1994 and 1995 totally unconstrained by the caps that were put in place.

The President has used a third concept—something which is neither fish nor fowl here. It is a concept that says that domestic discretionary spending and international discretionary spending will be uncapped. They will be allowed to rise with inflation from 1993 on. But for defense, we will plug in the Bush administration's defense request.

Senator MACK. Doesn't that allow him to come up with larger cuts than you would project his plan to show?

Mr. REISCHAUER. Compared with the CBO capped baseline, the cuts are estimated to be larger.

Senator MACK. Do you have roughly what that figure might be at this point?

Mr. REISCHAUER. We are working on it right now in response to a request from the chairman of this committee as well as the Republican leadership of the Senate.

Senator MACK. That's all I have.

Senator REID. Senator Burns?

Senator BURNS. I was just going to ask you: You said you had a mandatory increase of personnel in what areas?

Mr. REISCHAUER. No; what I was saying was that 93 percent of the request that I put in reflects what is classified as a mandatory increase in personnel expenditures. A COLA, if there were to be one, and the increase in the cost of fringe benefits. We aren't asking for new and different spending.

Senator BURNS. I misunderstood that. That's all I have, Mr. Chairman.

ADDITIONAL COMMITTEE QUESTIONS

Senator REID. Senator Mack, Senator Burns, thank you very much for your presence here today.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

EFFECT OF FISCAL YEAR 1993 BUDGET FREEZE

Question. Dr. Reischauer, last year the Committee and the Congress provided no increases in funding to the agencies of the Legislative Branch with the exception of the Library of Congress, Botanic Garden, and the Special Services Office.

What has been the impact of this freeze at the fiscal year 1992 level on the CBO?

How have you managed to keep CBO operating effectively?

Answer. So far, the Congressional Budget Office has been able to absorb the appropriation freeze without reducing staff by taking advantage of personnel actions begun in fiscal year 1992. A number of positions in top management and for principal analysts turned over in fiscal year 1992. We saved money by filling vacancies at lower salaries and, in some cases, by postponing filling the position. We are also saving money by continuing to reduce the percentage levels of merit pay increases to our employees.

In addition, CBO did not match the full Employment Cost Index adjustment of 3.7 percent given to General Schedule employees in 1993, but instead gave all employees a 3.2 percent increase.

Moreover, CBO published fewer studies than planned in fiscal year 1992, and we are holding our publishing to that lower level in fiscal year 1993. The actions result in a 16 percent cut in spending at the Government Printing Office.

Finally, CBO has reduced automated data processing (ADP) spending 4 percent below the fiscal year 1992 spending level, and we have cut systems, data, and model development by 61 percent.

IMPACT OF COMMITTEE FUNDING RESOLUTION

Question. The Committee funding resolution reported by the Rules Committee (S. Res. 71) reduces funding for committees in the Senate by 6.4 percent below the levels provided in the last Congress.

How would you manage CBO with a comparable reduction?

What items in your current request would you delete or retrench?

Answer. Relative to our fiscal year 1994 request, a 6.4 percent cut from this year's funding level would reduce next year's operating budget by 10.8 percent or \$2.55 million.

Before reducing staff, a series of steep reductions would realize fiscal year 1994 savings of about \$1.4 million (for details, see the CBO response under the heading "The effect of 5, 10, and 15 percent cuts on CBO"). After those actions were taken, the remaining \$1.2 million in cuts would require discharging about 19 current staff members.

The outlay savings from lower salary and benefit costs in fiscal year 1994 would be offset by higher payments for unused annual leave and federal unemployment insurance benefits. Staff reductions, a pay freeze, and reduced ADP spending would result in lower employee morale, reduced employee productivity, and, ultimately, a serious curtailment in our work for the Congress.

LOCALITY PAY

Question. The Federal Employees Pay Comparability Act of 1990 adopted the concept of pay based on locality, and requires that specific salary adjustments be made for federal white-collar workers paid under the General Schedule in each wage area where overall federal salary rates are more than 5 percent below nonfederal salary rates for comparable jobs in the same area. These salary adjustments are scheduled to begin in January 1994 for the Washington Metropolitan area. Several agencies—for example the Library of Congress and the Architect of the Capitol—have requested funding for this increase. Neither the Senate nor the CBO have requested funding for this increase. Would you explain what locality pay is, how it's computed, and what effect it will have on CBO.

Answer. Locality pay is intended to reduce the pay gap between the federal and private sector white-collar workforces, while also recognizing that salaries for clerical, administrative, and professional positions in the private sector differ among geographic labor markets.

Calculating pay differences by area involves salary surveys, conducted by the Bureau of Labor Statistics (BLS), and wage comparisons calculated by Office of Personnel Management (OPM) staff. According to preliminary estimates from OPM and BLS, the pay gap for white-collar employees in the D.C./Baltimore job market is about 30 percent. The size of this pay gap may be one reason the President has proposed delaying the implementation date and refining the methodology for determining pay by locality.

The focus of the geographic pay surveys and locality-based pay adjustments is on federal civilian employees in General Schedule (GS) positions, which appears to include GS workers employed by the Legislative Branch. The law does not explicitly authorize locality-based pay adjustments for Legislative Branch employees not currently paid under a General Schedule pay plan.

If CBO salaries did not keep pace with those of the Executive Branch and other Legislative Branch employees, this agency would soon experience difficulty attracting and retaining key staff. Hence, if the Congress were to fund locality-based pay adjustments for the Legislative Branch in fiscal year 1994, CBO would want to be included. To give a comparable, across-the-board locality pay adjustment in fiscal year 1994, we would need additional funds in the amount of \$420,000.

REDUCTIONS IN ADMINISTRATIVE EXPENSES

Question. The President recently issued an Executive Order to reduce administrative expenses by 14 percent by 1997. The Joint Leadership of the Congress has endorsed that goal for the Legislative Branch.

How would you define administrative expenses?

What steps would you take to cut back on the administrative overhead/administrative expenses of the Congressional Budget Office to achieve a 14 percent reduction by 1997?

Answer. Determining the amount of administrative overhead in an agency is a complicated task. For purposes of calculating overall budget savings, OMB defined administrative expenses to include all non-pay-related accounts with the exceptions of rent paid to the General Services Administration, capital expenditures, reimbursable expenses, and expenses required by law. But in order to carry out the reduction, each agency is calculating an overhead base that also excludes nonpersonnel costs directly related to its programmatic mission. The Administration's plan provides important flexibility by allowing agencies to take the reduction in any spending area.

In general, administrative expenses are those that cannot be directly connected to a specific work product or service, but rather contribute to the overall operation of the agency. For CBO, the fiscal year 1994 administrative overhead base is about \$1.2 million. In addition to personnel costs, the largest expenses excluded from this base are ADP costs charged directly to the divisions and the printing and postal costs directly associated with the production and distribution of CBO reports and studies.

Applying the administration's cuts to the CBO base adjusted for inflation saves \$35,000 in fiscal year 1994, and \$177,000 annually by fiscal year 1997. The action CBO would take to absorb these reductions depends on whether they occur alone or in conjunction with any of the other cuts currently being discussed.

If no other cuts occur, the \$35,000 reduction in fiscal year 1994 could be achieved by curtailing spending in areas such as training, subscriptions, and office supplies. By fiscal year 1996, when the reduction exceeds \$100,000, nonadministrative areas such as ADP and printing would be effected. But if this reduction is added to larger,

overall cuts, then three additional employees would have to be discharged by fiscal year 1997.

CBO TESTIMONY AND REPORTS

Question. Provide a listing of CBO reports, studies, and testimonies produced in fiscal year 1992, in order of their importance to CBO's principal mission of providing impartial budgetary analysis and data.

Answer. The listing follows.

CONGRESSIONAL BUDGET OFFICE REPORTS—SPECIAL PART II

(Projects completed between Oct. 1, 1991 and Sept. 30, 1992)

	Requester(s)	Completion date
AGRICULTURE		
Budget Analysis Division (236057): The Outlook for Farm Commodity Program Spending: Fiscal Years 1992–1997. Provides detailed information about CCC outlays included in CBO's annual budget baseline report.	Senate Appropriations Committee; Senate Budget Committee.	July 1, 1992; published.
BUDGET PROCEDURES		
Budget Analysis Division (230434): Report on Unauthorized Appropriations and Expiring Authorizations. Report to Congress required by the Balanced Budget and Emergency Deficit Control Act of 1985 listing unauthorized appropriations and expiring authorizations for the coming fiscal year.	(¹)	Jan. 13, 1992; provided to requester; unpublished.
Budget Analysis Division (231503): Budgeting for Administrative Costs Under Credit Reform. Analyzes the differences in long-term administrative costs for credit programs versus grant programs and makes recommendations for changes in treatment of administrative costs under credit reform.	(¹)	Jan. 23, 1992; published.
BUDGET AND BUDGET PROJECTIONS		
Fiscal Analysis Division (223201): The Economic and Budget Outlook: Fiscal Years 1993–1997. Volume one in series of legislatively mandated annual reports to the Congress on the state of the economy and the budget.	Annual report: Mandated by Congressional Budget Act.	Jan. 15, 1992; published.
Fiscal Analysis Division (223202): The Economic and Budget Outlook: An Update. Updates volume one of legislatively mandated annual report to the Congress on the state of the budget and the economy.	Annual report: Mandated by Congressional Budget Act.	Aug. 7, 1992; published.
Budget Analysis Division (231053): Final Sequestration Report for Fiscal Year 1992. Required by Public Law 99–177, as amended, setting forth advisory estimates of total discretionary budget authority and outlays for defense, international, and domestic spending and estimates of pay-go legislation and calculates excess, if any, over limits and any required sequestration.	(¹)	Jan. 13, 1992; published.
Budget Analysis Division (231771): Preview Sequestration Report for Fiscal Year 1993. Required by Public Law 99–177, as amended.	(¹)	Jan. 23, 1992; provided to requester; unpublished.
Budget Analysis Division (233403): An Analysis of the President's Budgetary Proposals for Fiscal Year 1993. Discusses the President's policies in terms of changes from CBO's baseline projections for fiscal years 1993–1997. Estimates the budgetary impact of the administration's proposals using CBO's economic and technical estimating methods.	Senate Appropriations Committee	Mar. 2, 1992; published.
Budget Analysis Division (231772): Sequestration Update Report for Fiscal Year 1993. Sets advisory estimates of total discretionary budget authority and outlays for defense, international, and domestic spending and for pay-go legislation and calculates excess deficit, if any, over the limit and any required sequestration.	(¹)	Aug. 7, 1992; published.

Office of the Director (280012): Reducing the Deficit: Spending and Revenue Options. Volume 2 in CBO's series of annual reports to the Congress on budgetary options, calculating the amount of deficit reduction to be achieved by changes to specific spending and taxing policy.

DEFENSE

National Security and International Affairs Division (077428): The START Treaty and Beyond. Looks at the effect on the budget of reductions in United States and Soviet strategic arms beyond those envisioned in the emerging START Treaty.

National Security and International Affairs Division (077607): The Economic Effects of Reduced Defense Spending. Analyzes the effects defense budget proposals will have on the economy with special attention to the effects on selected regional and local economies.

National Security and International Affairs Division (278610): Reducing the Army Officer Corps. Examines the administration's plans for reducing the number of Army officers and the effects of reductions in the Officer Corps. Examines alternative approaches with an emphasis on accessions, separations, and promotions.

National Security and International Affairs Division (278793): Balance and Affordability of the Fighter and Attack Aircraft Fleets of the Department of Defense. Analyzes the administration plans for modernizing the Air Force and Navy fighter and attack aircraft fleets.

National Security and International Affairs Division (278633): Costs of Alternative Approaches to SDI. Analyzes the costs and effectiveness of several possible ballistic missile defense programs, including single site ABM-complaint defense; multiple site ground-based defense; and the administration's global protection against limited strikes (GPALS) which included brilliant pebbles.

National Security and International Affairs Division (278217): Environmental Cleanup Issues Associated With Closing Military Bases. Examines the current estimates of costs and cleanup workloads and potential future costs. The investigation also provides a summary of the current status of cleanup efforts at each base and an assessment of work to be completed.

National Security and International Affairs Division (278408): Limiting Conventional Arms Exports to the Middle East. Study lays out basic contour of global arms industry and global arms trade and investigates importance of arms exports to U.S. defense and high technology industrial base. Develops policy options for limits on the arms trade.

National Security and International Affairs Division (976490): Structuring U.S. Forces After the Cold War: Costs and Effects of Increased Reliance on the Reserves. Study examines savings associated with alternative force structures substituting reserve for active forces, considering the current balance of combat and support forces in both the active and reserve forces.

Annual report: Mandated by Congressional Budget Act.

Jan. 24, 1992; published.

Senate Foreign Relations Committee

Oct. 15, 1991; published.

Senate minority leader

Jan. 31, 1992; published.

House Armed Services Committee

Apr. 24, 1992; provided to requester: unpublished.

House Armed Services Committee

Apr. 29, 1992; provided to requester: unpublished.

House Armed Services Committee

May 27, 1992; provided to requester: unpublished.

House Armed Services Committee

Aug. 20, 1992; provided to requester: unpublished.

House Committee on Foreign Affairs

Sept. 14, 1992; published.

Senate Budget Committee

Sept. 16, 1992; published.

CONGRESSIONAL BUDGET OFFICE REPORTS—SPECIAL PART II—Continued

[Projects completed between Oct. 1, 1991 and Sept. 30, 1992]

	Requester(s)	Completion date
ECONOMY AND FISCAL POLICY		
Fiscal Analysis Division (127947): The Economic Effects of the S&L Crisis. Analyzes issues such as the timing and size of the impact on GNP; changes in the distribution of public and private wealth; effects of the change in the mix of financial securities outstanding; ramification of increase in national debt; implications for national savings, investment, and long-run economic growth.	Senate Budget Committee	Jan. 13, 1992; published.
EDUCATION		
Human Resources and Community Development Division (158084): Guaranteed Student Loans: Recent Experiences and Options for Change in the Stafford Loan Program. An examination of the components of the Federal cost of the program, the characteristics of borrowers, the characteristics of the schools attended by the borrowers, and policy alternatives that would improve educational outcomes for students and reduce the Federal cost associated with providing Stafford loans.	Senate Budget Committee	Dec. 1, 1991; provided to requester; unpublished.
Human Resources and Community Development Division (257759): Undergraduate Enrollment and Completion Among Minorities. Analysis of College enrollment of minorities in 4-year, 2-year, and proprietary institutions.	Senate Labor and Human Resources Committee.	Feb. 1, 1992; provided to requester; unpublished.
Human Resources and Community Development Division (157759): The Relative Importance of Loans v. Grants in Financing Postsecondary Education. Examines the concern that students are being asked to take on too large a debt burden in order to continue their education as Federal aid has shifted from grants to loans in the last decade.	Senate Labor and Human Resources Committee.	Apr. 1, 1992; provided to requester; unpublished.
ENVIRONMENT AND NATURAL RESOURCES		
Natural Resources and Commerce Division (148058): Federal Options for Reducing Waste. A study of options available to the Federal Government to encourage the recycling of solid waste, including a review of the nature of the municipal solid waste problem, the role of the Federal Government, and the economic and budgetary implications of various policy options, particularly those encouraging recycling.	Senate Budget Committee	Oct. 22, 1991; published.
Natural Resources and Commerce Division (248461): Auctioning Radio Spectrum Licenses. Examines issues raised by recent proposals to change the way spectrum is assigned to private users, including substituting spectrum auction and charging user fees. Evaluates estimates of proceeds and implication for current and potential users.	House Budget Committee	Apr. 6, 1992; published.

HEALTH

Fiscal Analysis Division (228329): Economic Implications of Rising Health Care Costs. Examines direct and indirect costs, including opportunity costs, of increasing national health care expenditures; their effect on wages, corporate profits, State government expenditures and revenues and Federal expenditures and revenues.

House Ways and Means Committee Sept. 17, 1992; published.

Human Resources and Community Development Division (152913): Universal Health Insurance Coverage Using Medicare's Payment Rates. Estimates the potential changes in national expenditures for services provided by physicians and hospitals and for administrative costs that would result if Medicare were extended to the entire population.

House Ways and Means Committee Dec. 13, 1991; published.

Human Resources and Community Development Division (057005): Rural Hospitals and Medicare's Prospective Payment System. Part I of a study of rural hospitals. Examines the financial experiences of rural hospitals and the estimated effects of recent changes in the PPS on hospital revenues and margins, by types of rural communities and types of rural hospitals.

INTERNATIONAL ECONOMIC RELATIONS

Natural Resources and Commerce Division (148141): Trade Restraints and the Competitive Status of the Textile, Apparel and Nonrubber Footwear Industries. Updates CBO's 1986 study, "Has Trade Protection Revitalized Domestic Industries," for the textile, apparel and nonrubber footwear industries.

House Ways and Means Committee Dec. 17, 1991; published.

TAX RECEIPTS AND DISTRIBUTION

Tax Analysis Division (715575): Effects of Adopting a Value-Added Tax. Reviews the characteristics of VAT's, revenue potential, and effects on individuals and the economy.

House Budget Committee Mar. 4, 1992; published.

TRANSPORTATION

Natural Resources and Commerce Division (248785): Trends in Public Infrastructure Outlays and the President's Proposals for Infrastructure Spending in 1993. The Federal role in financing public infrastructure has changed markedly in the last few decades. Paper examines historical trends in Federal, State, and local expenditures for eight types of infrastructure and compares President's proposals with recent trends.

Senate Budget Committee May 1, 1992; provided to requester: unpublished.

Natural Resources and Commerce Division (946672): Paying for Highways, Airways, and Waterways: How Can Users be Charged? Study reviews how closely fees reflect actual use of and cost upon transportation infrastructure, also focusing upon whether fees improve user efficiency and the effects alternative pricing mechanisms could have on revenues, costs and demands for infrastructure.

Senate Budget Committee May 21, 1992; published.

¹ Required by the Balanced Budget and Emergency Deficit Control Act of 1985, as amended.

CBO TESTIMONY—FISCAL YEAR 1992

October 9—House Committee on Ways and Means, on cost containment provisions in health legislation.

October 10—House Task Force on Budget Process, Reconciliation, and Enforcement, Committee on the Budget, on the Budget Enforcement Act of 1990.

October 17—House Subcommittee on Education, Training, and Employment, Committee on Veterans' Affairs, on the composition of All-Volunteer Force (AVF).

October 22—Senate Subcommittee on Taxation, Committee on Finance, on RTC tax credit.

October 24—House Task Force on Urgent Fiscal Issues, Committee on the Budget, on hidden federal liabilities due to government's credit and insurance commitments.

October 24—House Task Force on Urgent Fiscal Issues, Committee on the Budget, on sale of federal loans through asset-backed securities.

October 29—House Subcommittee on Investigations and Oversight, Committee on Public Works and Transportation, on the Superfund program.

October 29—Senate Committee on Labor and Human Resources, on S. 1845, the Financial Aid for All Students Act.

November 6—House Legislation and National Security Subcommittee, Committee on Government Operations, on limits on discretionary spending for fiscal year 1993.

November 26—Senate Committee on Finance, on middle income tax relief and S. 1921.

December 10—House Committee on the Budget, on the economic outlook.

December 17—House Committee on Ways and Means, on the economic outlook.

December 19—House Subcommittee on Human Resources, Committee on Ways and Means, on Aid to Families with Dependent Children (AFDC) program.

January 22—Senate Committee on the Budget, on the economic and budget outlook.

January 23—House Committee on the Budget, on the economic and budget outlook.

January 27—House Subcommittee on Legislative, Committee on Appropriations, on CBO's fiscal year 1993 appropriation request.

January 29—House Subcommittee on Housing and Community Development, Committee on Banking, Finance and Urban Affairs, on economic effects of increased spending for infrastructure and housing (H.R. 4073).

February 4—Senate Subcommittee on Legislative Branch, Committee on Appropriations, on CBO's fiscal year 1993 appropriation request.

February 6—House Subcommittee on Human Resources and Intergovernmental Relations, Committee on Government Operations, on grants to local governments through Local Partnership Act.

February 18—Senate Committee on Appropriations, on preliminary analysis of President's budget for fiscal year 1993.

February 19—Senate Committee on Armed Services, on defense spending choices and their implications for the economic and budget outlook.

March 4—House Committee on Ways and Means, on the President's Comprehensive Health Reform Program

April 1—Senate Committee on Banking, Housing, and Urban Affairs, on the condition of the Bank Insurance Fund (BIF).

April 7—House Subcommittee on Economic Stabilization, Committee on Banking, Finance and Urban Affairs, on the budget deficit and economic growth.

April 7—House Subcommittee on Military Personnel and Compensation, Committee on Armed Services, on budgetary outlook for the military's health care system.

April 8—House Subcommittee on Social Security, Committee on Ways and Means, on women and the social security system.

April 8—House Subcommittee on Health, Committee on Ways and Means, on use by private payers of Medicare-based payment rates for hospital and physician services (section 402 of H.R. 3626).

April 29—House Subcommittee on Procurement and Military Nuclear Systems and Subcommittee on Research and Development, Committee on Armed Services, on tactical aircraft for Air Force and Navy.

April 29—House Subcommittee on Policy Research and Insurance, Committee on Banking, Finance and Urban Affairs, on economic impact of possible solvency problems in the insurance industry.

April 29—Briefing before House Subcommittee on Asian and Pacific Affairs and Subcommittee on International Economic Policy, Committee on Foreign Affairs, on effectiveness of previous agreements on textiles, apparel, and nonrubber footwear.

May 6—House Committee on the Budget, on effects of a balanced budget amendment to the Constitution.

May 6—Senate Committee on Finance, on comprehensive health care reform and cost containment provisions in health legislation.

May 20—House Subcommittee on Hospitals and Health Care, Committee on Veterans' Affairs, on veterans health care reform (no statement).

June 3—House Committee on the Budget, on a balanced budget amendment to the Constitution.

June 5—Senate Subcommittee on Deficits, Debt Management and International Debt, Committee on Finance, on budget deficits and economic growth.

June 11—House Subcommittee on Oversight, Committee on Ways and Means, on Superfund cleanup program and Hazardous Substance Superfund.

June 17—Senate Committee on Banking, Housing, and Urban Affairs, on the current and future condition of the thrift industry.

July 28—House Subcommittee on Department Operations, Research, and Foreign Agriculture, Committee on Agriculture, on HR 4279, to enhance competitiveness of U.S. processed and high-value agricultural products in export markets and expand domestic employment opportunities.

August 5—(This hearing was postponed; however, statement was made available to public.) House Committee on Banking, Finance and Urban Affairs, on Bank Insurance Fund, Resolution Trust Corporation, and Savings Association Insurance Fund.

August 11—House Subcommittee on Oversight, Committee on Ways and Means, on the Pension Benefit Guaranty Corporation (PBGC).

September 25—House Subcommittee on the Legislative Process, Committee on Rules, on the line item veto.

THE EFFECT OF 5, 10, AND 15 PERCENT CUTS ON CBO

Question. What would be the effect of a 5, 10, and 15 percent reduction below your current base?

Answer. To understand the magnitude of these cuts, consider them relative to our fiscal year 1994 request. On this basis, a 5 percent cut reduces the CBO operating budget by \$2.235 million or 9.5 percent. Moving from a 5 percent to a 10 percent "real" cut would be half again as much: \$3.362 million below our request. And a 15 percent "real" cut reduces our request by \$4.489 million.

To minimize the impact of any cut on CBO's permanent staff, we would target nonpersonnel spending first. The following actions, which do not affect permanent staff levels, will realize overall savings of about \$1.4 million: eliminate the January 1994 ECI adjustment of 2.2 percent (\$289,000); print only mandated studies, photocopy all others (\$285,000); apply a 15 percent across-the-board timesharing cut (\$266,000); cancel all system and data updates (\$200,000); delay the replacement of office equipment and personal computers (\$200,000); and eliminate CBO intern programs (\$150,000).

After all possible nonpersonnel savings are realized, staff reductions will be necessary. As a rough rule of thumb, 16 fewer workyears generate outlay savings of about \$1 million. On this basis, a 5 percent cut will reduce our permanent staff by 14 full-time permanent employees; 6 percent of the current level of 220 work years. A 10 percent cut will mean discharging 31 permanent staff members. A 15 percent cut will require eliminating 49 permanent employees, or 22 percent of our current level of staff. Even at the 5 percent level, we cannot rely on attrition alone, but will have to discharge permanent staff.

The result of reductions of this magnitude will be a major curtailment of the services that CBO currently provides to the Congress at a time when the budget and the economy continue to dominate the Congressional agenda. Even a 5 percent reduction will eventually mean a serious reduction in the quality and productivity of CBO's analyses and cost estimating capability. Cutting off the pipeline of basic, long-range research that feeds information and expertise to analysts on the front lines will irreparably damage CBO's core functions. Any reductions above 5 percent will just accelerate the decline.

It is critical that resource cuts this large, if they become necessary, be well planned and phased in, rather than abruptly carried out. Discharging permanent staff has drastic implications for the level of support we provide the Congress in fiscal year 1994, not to mention employee morale. And what happens beyond fiscal year 1994? Our ability to attract and retain a qualified and productive work force is an obvious and legitimate concern.

QUESTIONS SUBMITTED BY SENATOR CONNIE MACK

EFFECT OF ADMINISTRATION CUTS APPLIED TO LEGISLATIVE BRANCH

Question. As you know, the joint leadership of Congress has called for a 4 percent reduction in Legislative Branch personnel over the next two years, and a 14 percent reduction in administrative expenses over the next four years.

The personnel reduction would reduce your permanent positions from the current 220 to 211, the number you had in 1988. The administrative expense reduction is harder to measure, since "administrative expenses" have not been precisely defined, but I understand the leadership's proposal to mean a nominal freeze on non-personnel costs for the next four years, which yields a 14 percent reduction against a current services baseline.

Can you manage those reductions? Have you thought about how you would achieve those savings and what areas you would most strongly defend against reductions?

Can you go beyond the reductions that have been suggested?

Answer. If CBO were to follow the reduction in the federal work force planned by the Clinton administration, agency staff would be reduced by 9.2 full-time equivalent workyears by the end of fiscal year 1995. Since OMB includes nonpermanent employees when it measures FTE's, the CBO FTE base for this reduction is 230. In order to meet this staff reduction, CBO would cancel both summer and semester intern programs to save 6.5 FTE's. The additional 2.7 FTE reduction would come from permanent staff and could possibly be accomplished without layoffs.

Determining the amount of administrative overhead in an agency is more complicated. Each Executive Branch agency is calculating an administrative spending base that targets overhead without reducing its ability to carry out its programmatic mission. Once the amount to be cut is calculated from that base, the Administration's plan provides important flexibility by allowing agencies to take the reductions in any spending area.

For CBO, the fiscal year 1994 administrative overhead base is about \$1.2 million, which is 30 percent of nonpersonnel, nonequipment expenditures. Applying the Administration's cuts to this base—adjusted for inflation—saves \$35,000 in fiscal year 1994 and \$177,000 annually by fiscal year 1997. The actions CBO would take to absorb these reductions would depend on whether they occur alone or in conjunction with any of the other, larger cuts currently being discussed.

If no other cuts occur, the \$35,000 reduction in fiscal year 1994 would be achieved by reducing spending in areas such as training, subscriptions, and office supplies. By fiscal year 1996, when the reduction exceeds \$100,000, nonadministrative areas such as automated data processing and printing will be effected.

If both of these reductions were made in addition to larger, overall cuts, however, they would result in the loss of about 12 additional staff years. This would represent a major reduction in the staff level of CBO, an agency that currently operates with a very lean administrative and analytical staff. CBO has an excellent record of reducing nonpersonnel costs and will continue to look for savings in those areas. But if the agency must go beyond these reductions, and particularly if we were required to make additional reductions in staff, the result would be to erode seriously the support we are able to provide to the Congress at a time when the budget and the economy continue to dominate legislative debate and action.

NON-PERSONNEL COSTS

Question. Ten years ago, non-personnel expenditures amounted to 40 percent of your budget. You've brought that down to 18 percent in your fiscal year 1994 request with declines in every category of expenditure except for printing and reproduction, travel and transportation of persons, and supplies. What opportunities do you see to reduce spending in these areas to previous lows? Can desk-top publishing reduce your printing costs, for example?

Answer. CBO has worked extremely hard to lower nonpersonnel spending. Rather than grow by inflation, current CBO spending for nonpersonnel-related costs, in nominal dollars, has shrunk 25 percent below the fiscal year 1987 level, which is the last year CBO increased its staff ceiling.

Spending for printing and reproduction reflects CBO's reimbursements to the Government Printing Office (GPO) for the printing of reports, studies, forms, and stationery. In producing its documents, CBO uses a Xerox desk-top publishing system that generates camera-ready copy used by GPO, the least expensive method currently available for publishing documents with numerous tables and graphs. Printing costs continue to grow as a result of price increases by GPO, which have been higher than inflation in recent years.

In order to offset the recent price increases, we have applied for a GPO program that would enable us to send certain printing jobs to an outside printer and could result in lower costs. Also, in another cost-cutting measure, we recently redesigned the format of our reports to reduce their length, and we carefully monitor the choice of paper stock and the number of copies printed.

Increases in spending for travel are primarily the result of hotel costs rising faster than inflation. Also, recent increases in travel costs for consultants stem from an increased need for expert advisory panels on the economy, health care, and financial institutions.

Spending for supplies has increased for several reasons. Subscription prices normally grow faster than inflation. Office supplies have grown as the shift from main-frame timesharing to microcomputers continues. This category also includes ADP software. Although many software prices remain stable, more expensive econometric, statistical, and network software purchases continue to rise. These software enhancements support lower-timesharing costs and increased productivity that result in savings reflected elsewhere in the budget.

SUBCOMMITTEE RECESS

Senator REID. This completes the hearing today. Tomorrow, Thursday and Friday of this week, we are going to complete a number of the organizations: General Accounting Office, Library of Congress, Government Printing Office, Capitol Police Force, and Architect of the Capitol and such.

Thank you very much for your attention.

The subcommittee stands in recess until tomorrow morning at 10 a.m.

[Whereupon, at 12:35 p.m., Tuesday, February 23, the subcommittee was recessed, to reconvene at 10 a.m., Wednesday, February 24.]

CONCENTRATIONS OF SELECTED METALS IN FISH



Figure 1. Concentrations of selected metals in fish (mg/kg) for various species.

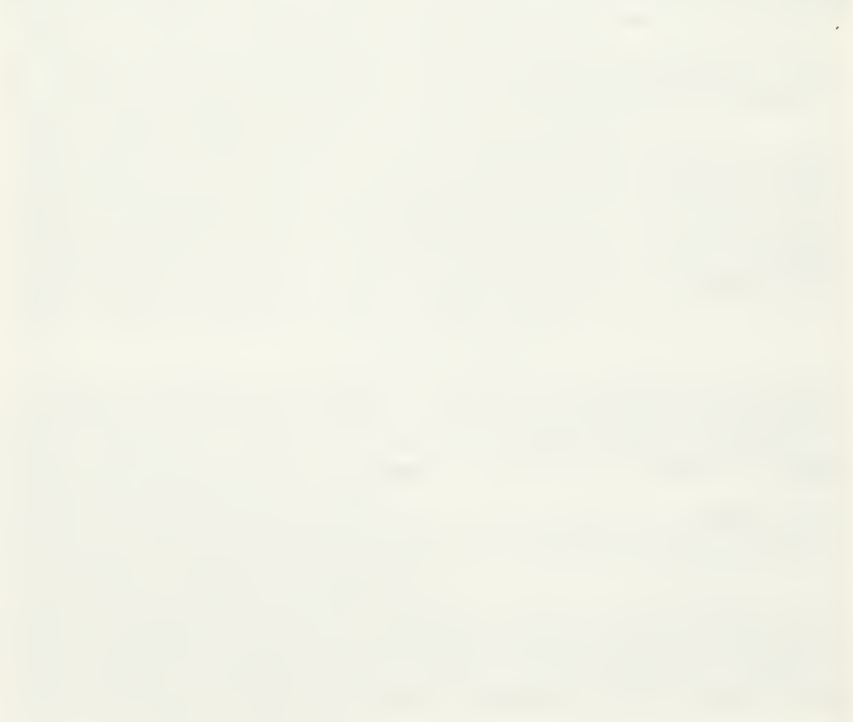


Figure 2. Concentrations of selected metals in fish (mg/kg) for various species.

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1994

WEDNESDAY, FEBRUARY 24, 1993

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 10 a.m., in room SD-116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.

Present: Senators Reid, Mikulski, Mack, and Burns.

CAPITOL POLICE BOARD

U.S. CAPITOL POLICE

STATEMENT OF MARTHA S. POPE, CHAIRMAN, CAPITOL POLICE BOARD

ACCOMPANIED BY:

WERNER BRANDT, HOUSE SERGEANT AT ARMS

GEORGE WHITE, ARCHITECT OF THE CAPITOL

GARY ABRECHT, CHIEF, CAPITOL POLICE

PREPARED STATEMENTS

Senator REID. The subcommittee will come to order. This morning we will consider the budget requests of the Capitol Police and the Architect of the Capitol. We are going to begin with the Capitol Police.

The police request for fiscal year 1994 totals \$70 million. This represents an increase of \$5.1 million, or 7.9 percent, over the amount available for the current fiscal year.

We are pleased to have with us the Capitol Police Board, Chairwoman Martha Pope, board members Werner Brandt and George White, as well as the Chief of Capitol Police, Gary Abrecht.

Ms. Pope, your prepared statement will be included in the record, and we have a statement from Mr. Brandt, and I see one, although I have not read it, from the Chief.

[The statements follow:]

STATEMENT OF MARTHA S. POPE

Mr. Chairman and Members of the Committee, I am grateful for the opportunity to testify on behalf of the Capitol Police and present the fiscal year 1994 budget request. I want to begin by commending the new Chief, Gary L. Abrecht and the Assistant Chief, Robert K. Langley, and all of the Capitol Police for their efforts in the past year. They would not have been successful without the strong support of this Committee and the Congressional community as a whole.

Last year, legislation was passed which authorized unified pay disbursement and implemented lump sum terminal leave payments for the Capitol Police. Progress is being made toward a unified payroll.

This year, the Capitol Police are seeking a 7.9 percent or \$5,139 million increase in their fiscal year 1994 budget. They are not seeking any additional positions or inflationary increases for general expenses. Increases in the General Expenses budget, \$390,000, are attributable to the Biennial Promotion Process, the Federal Excise Tax on equipment and supplies, and computers. The Capitol Police are now responsible for the purchase and support of their computer equipment and supplies. Increases in the personnel budget, 7.6 percent or \$4,749 million, are a result of mandatory increased costs of retirement benefits, COLA adjustments, and costs for longevity and other scheduled salary increases.

In closing, I would like to thank the Committee for its work on behalf of the Capitol Police and I look forward to working with you on the many challenges that lie ahead.

STATEMENT OF WERNER W. BRANDT

Mr. Chairman, it is a privilege to appear before you to discuss the budget request for the United States Capitol Police. I look forward to answering any questions the Subcommittee might have as well as providing any additional information the Subcommittee might require in support of this request.

As provided by Public Law 100-458 (October 1988) the Capitol Police Budget request is now a joint item. For fiscal year 1994 projected personnel expenses are \$67,601,000 [\$33,455,000 House Payroll], [\$34,146,000 Senate Payroll].

Increases in the personnel budget are outlined in the schedules provided to the Subcommittee. The largest increases are attributed to Benefits, Cost of Living Adjustments (COLA), meritorious/longevity increases and related costs.

The funding request for General Expenses is \$2,419,000 for fiscal year 1994. Increases in the Capitol Police General Expenses budget request are attributed to Biennial Promotional Process, the cost of Federal Excise Tax on ammunition, other equipment and supplies, and Computer Equipment. In the past the Senate Computer Center has supplied us with computer equipment. However, we have been informed that the Capitol Police is now responsible for incurring the expense for purchasing all computer equipment. The Senate will continue to pay for the support and maintenance of existing computer equipment.

Other services—\$406,000

This object class includes all services not specifically covered by any other object class. It encompasses such things as repairs and alterations to equipment, maintenance contracts, tuition and registration fees for training programs, conferences, seminars, etc., uniform maintenance and alterations (including laundry and dry cleaning), and professional services such as recruit physicals, veterinary care, psychological evaluations, employee assistance program, including but not limited to professional referrals, drug screening, promotional assessment, etc. This increase is due to the Biennial Promotional Process. This process involves contracting for a professional testing firm to develop and administer the promotional examinations for the ranks of Detective through Captain.

Supplies and materials—\$945,000

This object class includes charges for commodities, whether acquired by formal contract or other form of purchase, that are ordinarily consumed or expended within one year after they are put into use. It contains items such as weapons parts and accessories, communications supplies, automotive maintenance supplies, fuel, oil, repair parts, photographic supplies, K-9 supplies, training supplies, electronic supplies, office supplies, publications, uniforms and accessories, ammunition and explosives, and other misc. supplies. The increase is associated with the cost of Federal Excise Tax. In the past, the Capitol Police have not paid Federal Excise Tax on ammunition and other supplies and equipment. However, the Department has recently been advised that they are not exempt from Federal Excise Tax.

Capital assets—equipment—\$802,000

This object class provides for the purchase of equipment that has a normal life expectancy of a year or more after being put into use, without material impairment of its physical condition, and has a unit cost of at least one hundred dollars. Included in this object class are weapons, vehicles, radio transceivers, photographic equipment, automotive maintenance equipment, electronic equipment, investigative equipment, computer equipment, etc.

The increase in this object class of 59.8 percent can be attributed to a new line item entitled computer equipment. In the past the Senate Computer Center has supplied us with computer equipment. However, we have been informed that the Capitol Police is now responsible for incurring the expense for purchasing all computer equipment. The Senate will continue to pay for the support and maintenance of existing computer equipment.

Transportation of persons—\$148,000

This object class includes airfare, car rental, mileage, tolls, per diem, and other expenses incidental to official travel by employee of the Department. These travel expenses are related to protective details, transporting employees to and from the Federal Law Enforcement Training Center (FLETC) for recruit and other specialized training, as well as other developmental training that is not held at FLETC or in the D.C. area. It also includes costs associated with other travel related to official business such as investigations, ceremonial functions, competitions, etc. There is no anticipated increase for this object class.

Transportation of things—\$13,000

This object class includes freight costs incurred when parts, uniforms, or materials must be sent to another location (e.g., our liaison office at FLETC), when equipment is shipped to a repair facility, when items of evidence must be sent to another site for analysis or investigation, shipment of household goods for officers assigned to FLETC, etc. Funds contained in this object class cover any transportation costs except regular mail services (contained in Rents, Communications, and Utilities) and travel and per diem costs (contained in Transportation of Persons). There is no anticipated increase for this object class.

Rent, communications, and utilities—\$105,000

This object class provides funds for the lease and rental of equipment and services such as law enforcement computer files, automated research services, and photocopying machines. It also includes funds for U.S. Postage, and commercial long distance telephone service. There is no anticipated increase for this object class.

STATEMENT OF GARY L. ABRECHT

Mr. Chairman and Members of the Committee, I am honored to appear before this Committee today to discuss the fiscal year 1994 budget request for the Capitol Police.

We are requesting a 7.9 percent increase over our fiscal year 1993 Appropriations to cover annualization of the fiscal year 1993 COLA, the projected fiscal year 1994 COLA and Locality Pay, increased cost for benefits, and costs for longevity and other scheduled increases. There is also an increase in the general expense account for the purchase of computer equipment, the biennial promotional process, and the cost for Federal Excise Tax on some police equipment and supplies. It should be noted that we are not seeking any staffing increases or inflationary increases for general expenses.

Since assuming command of the department on May 1, 1992, I have spent a great deal of time evaluating the organizational structure, manpower and other needs of the department. I am happy to report that with the Board's assistance, we have been able to reduce the requirements at some of our Posts without compromising security, and have eliminated other Posts altogether. The evaluation of our staffing requirements for the various Assignments we cover, and our other security concerns, is an ongoing process. Hopefully, additional Post reductions can be accomplished, resulting in further savings to the department.

I have also initiated cost saving measures in our general expense account. These measures include savings realized from purchasing some mid-size vehicles in lieu of the full size police packaged vehicles, reduced travel and tuition cost for training purposes, and a much closer scrutiny in the purchasing of supplies and equipment. I intend to establish a motor pool for our unmarked police vehicles in the next few days. I am confident that we can reduce the size of the vehicle fleet by establishing a more efficient use of our vehicles.

I would like to express my gratitude to the Committee for their support of the recently passed Legislation that expanded the jurisdiction of the Capitol Police and provided for terminal leave pay for retiring officers. This measure has improved our ability to protect the Congress, and increased the efficiency of the force during the implementation of mandatory retirement.

I am pleased to report that for the second consecutive year there was a decrease in the number of reported "Crimes Against Persons". In fiscal year 1992 there was

a 26 percent decrease (50 to 37) in the number of these offenses, resulting principally from a substantial reduction in the number of assaults (34 to 13).

Offenses involving property crimes on the Capitol Grounds were up by 12 percent overall due to the increase in thefts from offices and other thefts in the buildings. Office Thefts were up by 28 percent (169 to 216) while other thefts in the buildings were up by 49 percent (43 to 64). Burglaries were down by 50 percent (20 to 10), stolen autos were down by 35 percent (24 to 15). The number of stolen autos recovered by the Capitol Police increased by 11.7 percent (120 to 134).

Several other indicators of Capitol Police workload also increased during the past fiscal year: the number of Demonstrations on the Grounds increased by 48 percent; Requests for Assistance with visiting dignitaries and the number of Special Events on the Grounds both increased by 23 percent.

The Fiscal Year 1993 Legislative Branch Appropriations Report contains language that expressed this Committee's disappointment at the lack of progress in consolidating the Capitol and Library of Congress Police Forces. This Committee further advised that the Capitol Police should work closely with the Library in preparation of a plan for merging the Library and Capitol Police Forces and should be ready to discuss its recommendation at this year's hearing. I am prepared to discuss our recommendations in uniting these forces.

This committee also expressed concern about the traffic violations in the busy intersections around the Senate Office Buildings. I am also prepared to discuss the progress we have made in alleviating this problem and to address our future plans in combating these traffic problems.

In closing, I would like to comment on the men and women of the Capitol Police. In the short time that I have been Chief of Police, I have been continually impressed by the quality of the personnel employed by the Capitol Police. They are a well trained, disciplined, and dedicated group of officers and employees who are eager to accept new challenges and who take great pride in their service to the Congress. I am proud and honored to have been selected as Chief for this outstanding department.

POLICE EXPENSE BUDGET

Senator REID. All these statements will be made part of the record, and if anyone wishes to make a statement, elaborate or whatever you care to do, please go forward.

Ms. POPE. I will elaborate a little bit and not make a statement.

The expense side of the police budget was held level, except for two items. One is computers. The police need new computers and we included funding in their budget. However, the funding can come from the Senate Sergeant of Arms budget, if that's satisfactory to you.

Senator REID. Do you both use the same system, or will it be different?

Ms. POPE. I believe we are putting in a local area network.

Chief ABRECHT. The Senate computer center has for years provided all of the computers for the U.S. Capitol Police, for which we are very grateful, and we operate off of their mainframe system and off of a minicomputer which they provided to us.

Mr. BARTELL. The intention, as the Senate computer center is doing throughout the Senate, is to replace the minicomputer with a series of LAN's which would be interfaced with the mainframe for mainframe access.

Senator REID. Sorry to interrupt you.

Ms. POPE. I just wanted to make a point about the expense side of the budget.

SALARIES

With regard to salaries, we are not asking for inflationary increases other than those that have been mandated. However, since

it looks as though Federal employees are going to forego the COLA, then the police will as well. That wasn't reflected in the budget when I testified on the House side.

Senator REID. How are we doing with police salaries, Capitol Police salaries, compared to salaries of other law enforcement agencies in the area?

Chief ABRECHT. On a salary basis, Mr. Chairman, we are doing about even; the salaries remain the same. There are, however, some differentials that have crept in that are causing the actual compensation of our officers to lag.

The largest of those is the new interim geographical assistance or locality pay, which the Federal law enforcement officers in the Washington metropolitan area have already received. As I understand this, on January 1, they began to receive the 4 percent interim geographical assistance, which they received ahead of the rest of the Federal civil service who are supposed to receive it next year.

It's already in effect for all Federal law enforcement officers, except the Capitol Police, and that's obviously causing some disparity.

There are also a few other areas where we do not match up. One of these is shift differentials, which are available to most of the uniformed people working with the USS Uniformed Division and the Park Police. There are still some areas where we are lagging a little bit from the rest of the Federal law enforcement community.

Ms. POPE. I want to make the point with regard to salaries that, if the Congress does cut personnel by 4 percent over 2 years, the police would expect to participate in that cut.

Senator REID. Chief, do you think that you could handle that and still allow for a secure Capitol Hill?

Chief ABRECHT. Yes; I believe we can. The two Sergeants at Arms have been very helpful to me in the process whereby we have studied every one of our posts and identified posts that we believe can be reduced without compromising security. They have gone to the respective bodies seeking the authorizations to eliminate some of those posts. We have been able to reduce a number of posts that way, and they are still working on a few others. I think we could reduce and thereby ultimately make some reductions in our manpower without compromising security.

Senator REID. This is over a period of 4 years?

Chief ABRECHT. Yes.

Senator REID. Will the President's plan to reevaluate locality pay affect the Federal law enforcement agencies?

Chief ABRECHT. I'm no expert in these matters. As far as I know, it's already in the law, unless the law has changed.

Senator REID. I have interrupted everyone's opening statements. Anything more? Glad to have you with us.

REMARKS OF WERNER BRANDT

Mr. BRANDT. Mr. Chairman, it's a pleasure to be here. This is my first time to appear before this subcommittee, and it's an honor.

I would like to take this opportunity to say two things as the newest member of the board. One is, I would like to thank Martha Pope, the Sergeant at Arms for her assistance and support in the

whole process of becoming acclimated and taking hold in that office, and I believe the cooperation between my office and Senate Sergeant at Arms as well as the Architect has been actually outstanding.

And second, again, with 1 year experience almost, I would really like to compliment the U.S. Capitol Police. I think they have performed very well in a number of things, particularly the conventions both in Houston and New York, and I think Chief Gary Albrecht has done an outstanding job, and Deputy Chief Langley who had to carry on under a transition and deserves a compliment as well, sir.

Senator REID. Mr. Brandt, speaking for the subcommittee, we are, of course, happy to see you all here together. We are glad that things are working out well. I have had a number of conversations with Ms. Pope, and she is very laudatory in her comments about your activities, and we all have the same goal here: To try to improve the Federal workplace and to make it a safe one. And we are glad the Capitol Police Board is working well together, and we look forward to even doing better things in the years to come.

It's clear that the fiscal environment is going to require further reductions that we have all talked about. The Capitol Police, we recognize, has important functions; they are critical to the mission that we all have here on Capitol Hill. But many organizations or many other activities are not as crucial as the Capitol Police, although they may support a system with the primary objective of this organization.

The distinction I have in mind is being what is essential and what may be helpful. And as we have talked about, reductions are necessary, and we want to work with you in any way possible to make sure that the essential functions are performed.

CONTAINMENT EMERGENCY RESPONSE TEAM

Chief, could you tell us how crucial a role the containment emergency response team is to the overall function of your responsibilities.

Chief ABRECHT. I believe that the Capitol Police does need a tactical response capability.

Senator REID. Tell me what it is. Explain what it is to us.

Chief ABRECHT. I would prefer to discuss that off the record at some point.

Senator REID. All right.

Chief ABRECHT. To some extent, we could perhaps, in a general term, discuss it.

Senator REID. Please do that.

Chief ABRECHT. It presents the capability to respond to a crisis of a tactical nature. A hostage situation would certainly be one possibility.

Senator REID. Do you feel that the people you have that are working in this team are as well-trained as other officers in Los Angeles, New York, Philadelphia, or wherever such organizations exist?

Chief ABRECHT. I don't feel that, Mr. Chairman, I know that from the competitions that they have engaged in with other law enforcement agencies, both Federal and local throughout the country.

They are clearly of the capability to handle the emergencies that might occur on the grounds.

I think the key here, the challenge for us, it seems to me, is to maintain the capability while at the same time getting the maximum use out of this personnel when their specialized training is not needed.

To this end, we have abolished the team as a freestanding organizational unit and integrated the team members into our patrol operations. Members of this team are now patrol officers with a collateral responsibility as a tactical response unit.

Whenever the level of police service requires the services of this specially trained unit, they are available, such as for a dignitary arrival that has potential for some risk. They are assigned to that function. At other times they are utilized as patrol officers in the usual police role.

This has enabled us to increase our foot patrols throughout the parks and pedestrian walkways recently during the winter time. When it was dark earlier, we were getting a lot of concern from staff and Members about the safety on the grounds. And by using the CERT members for that purpose, we had them available, should there be an emergency, but we were also getting some other police service out of them.

This has been tremendously beneficial to the Congress, while we still maintain the capacity to use them if we need them.

Senator REID. Sometime at a mutually convenient time, we will sit down with you and Senator Mack to talk about some of the activities of this organization, especially this special team.

MERGER OF LIBRARY OF CONGRESS POLICE WITH CAPITOL POLICE

The fiscal year 1993 Senate Appropriations report requested that plan to accomplish the merger of the Library of Congress with the Capitol Police be available for review at this time. What is the status of that plan, now?

Ms. POPE. There is no reason why it can't be done. We have drafted language, and that's being reviewed by counsel right now to accomplish the merger.

Senator REID. And if this does work out, how much money can we save? Do you know?

Ms. POPE. I don't know that.

Chief ABRECHT. I don't think that we have gotten to the point where we would be able to determine—obviously there has to be some economy to scale, if possible. There must be some overlap of administrative support and functions that can be eliminated should the two units be merged. But to the specific amount, I don't know.

Senator REID. When do you think we will have that information? Like 6 months? Next year? When?

Ms. POPE. We will sit down and look at the two police forces and decide where the administrative roles overlap. I doubt very much if the actual police roles would overlap much.

Senator MACK. What is the size of the organization?

Chief ABRECHT. The Library?

Senator MACK. The Library.

Chief ABRECHT. I believe it's 160 officers.

Ms. POPE. We will sit down in advance of passing the legislation and get a sense of what the savings would be, Senator.

Senator REID. When do you think we will know that?

Chief ABRECHT. We could certainly look at that.

Ms. POPE. And then we could report back to the committee.

NATIONAL FINANCE CENTER PAYROLL CONTRACT

Senator REID. The appropriations report of last year directed the police to develop a proposal of unifying your payroll by contracting out, possibly to the National Finance Center. And, in fact, you were to develop plans for accomplishing this transfer in coordination with the Architect.

What has happened to this?

Ms. POPE. There have been a series of meetings on that subject. We have discovered that going to the National Finance Center may not be the best way to proceed. It certainly would cost more, and there are other ways of accomplishing a unified payroll, including something as simple as either having the House or the Senate issue the paychecks for the police. It would be an easier way to handle the unified payroll.

The real question is what this accomplishes. I don't think it really accomplishes much. The real goal would be a unified personnel system.

Senator REID. For the police?

Ms. POPE. Yes; because the unified payroll is still going to leave separate House and Senate positions, and there is no reason for that.

Senator REID. What we are talking about here are officers that are detailed to the House side, officers detailed to the Senate side; is that what we are talking about?

Ms. POPE. Not really. The officers are detailed without regard to which payroll they are on, so that people on the House payroll work on the Senate side frequently, and people on the Senate payroll work on the House side.

Senator REID. That's not the way it used to be back in the old days.

Senator MACK. How far back is that?

Senator REID. When I was a policeman, we were assigned to House detail, Capitol detail, and Senate detail.

Ms. POPE. That's not the case anymore. They are assigned without regard to the payroll.

Senator REID. What's the purpose of the separate checks?

Ms. POPE. There isn't any.

Senator REID. What are we doing about that? Anything?

Ms. POPE. We need authorization. What we need to do is work with you and the Rules Committee to resolve this.

Mr. BRANDT. We made testimony before the House Subcommittee on Legislation Appropriations, and we indicated that we would proceed and study the matter because they have expressed a similar interest in a unified payroll and indicated a strong interest in seeing us move ahead, and we committed that we would aggressively pursue this matter.

Senator REID. It means literally nothing to the officer to have separate checks?

Ms. POPE. That's correct.
Chief ABRECHT. That's right.

CONVERSION OF POLICE POSITIONS

Senator REID. We also talked previously about having a conversion of 114 House police positions to civilian positions; that was House Resolution 199. What's happened to this?

Mr. BRANDT. I think the Chief can give you a statistical report. We are moving ahead quite firmly on that, and we have accomplished a great deal.

Chief, what's the exact number?

Chief ABRECHT. As of right now, 81 of these 114 House positions have been converted to civilian positions, and the remaining 33 are being converted as House vacancies occur.

As the process has progressed, we have determined that we need to reclassify some of these positions from one of the classes that they were in to another, and we asked the House Administration Committee to reclassify those positions. So there has been a slight delay in that regard. But basically, as a House police position becomes vacant, a civilian is hired into that position.

We have had great success with that program. The civilians we have hired have been energetic; they fit right in. I hear good response, despite some initial apprehension from a lot of my supervisors about the quality of the work that they are going to get. In fact, it turned out to be very successful, and we are progressing very well in that regard.

ADMINISTRATIVE EXPENSE REDUCTION

Senator REID. The President, as we have talked about earlier, issued an Executive order to reduce administrative expenses specifically by 14 percent, and the joint leadership of Congress has endorsed that goal for the legislative branch.

First of all, does anyone here know how to define administrative expense, and what is being done by the Capitol Police to meet their share of that goal?

Ms. POPE. Administrative expenses are nonpersonnel expenses.

Senator REID. But the police is a very labor-intensive organization; is that true?

Chief ABRECHT. That's correct, and our general expense budget is a very small part of our budget. Roughly \$2 million of our \$70 million budget is administrative or what we call general expense budget.

The problem we face is that much of our administrative expenses are provided for by other entities of the Congress. So what we pay for are sort of anomalous items that are really just police items, and I don't see how we are going to successfully reduce that by 14 percent without some radical changes in the way we do business.

For instance, one of our larger items is uniform expense, and clearly we would see a deterioration in the appearance of the officers if we had to cut our uniform expense by 14 percent.

Senator REID. I think that we have to be reasonable. To arrive at 14 percent, we may have to cut some more than others, so we will be happy to take a look at that.

Chief ABRECHT. We have kept our general expense budget flat for 3 years now. We have absorbed all inflationary increases and asked for the same thing next year, other than really one item that's remaining, which is our biannual promotional process. We have absorbed all the inflationary increases now for the last 2 years.

CAPITOL POLICE EXTENSION OF JURISDICTION

Senator REID. What I would like for you to do now, Chief, is tell us a little bit about what has happened on the extension of the jurisdiction of the Capitol Police, and also give us a summary of what's happened with crime in the Capitol complex.

Chief ABRECHT. The extended jurisdiction is now law as of October 6. We have proposed a general order which is still being reviewed by legal counsel.

Senator REID. Explain to the committee what the extension of jurisdiction has done.

Chief ABRECHT. The extended jurisdiction has given to the Capitol Police the authority to make arrests in an extended area beyond the Capitol that roughly extends out to 7th Street on the east, H Street on the north, and then down quite a distance into the Southeast area and Southwest area on the south. The area of most interest is the area immediately east and north of the Capitol. It extends to our officers the ability to make arrests on probable cause in that area in the same fashion that a Metropolitan Police officer would be able to.

Senator REID. Is Metro accepting this?

Chief ABRECHT. Yes; we have had an excellent relationship with Chief Thomas and Deputy Chief Sarvis, who is the Deputy Chief in charge of that area. We have had several meetings. We have worked out all coordination agreements. They recently agreed to allow our officers access to their radio channels so we can make sure that there are no coordination problems. We have resolved all those issues. There are no problems at all with the Metropolitan Police Department.

We are seeing some effects from this. Just 3 or 4 days ago, an arrest that would not have been lawful before this change in jurisdiction occurred, just a couple of blocks north or one block north of the Thurgood Marshall Building, when one of our officers was flagged down by a citizen who had witnessed a mugging on the street, and the officer was directed toward where the person had run and was able to make the apprehension. That was an arrest on probable cause as opposed to on view, which would not have been legal before the extension of the jurisdiction. A mugging was thereby successfully closed as a result of our having that extended jurisdiction.

That's the sort of thing we wanted to accomplish. When our officers are out in the environs immediately around the Capitol, if they were flagged down by a citizen that needed assistance, that they would be able to render that assistance, and that's what we have accomplished, so we are very satisfied with that.

Senator MACK. Where did that take place?

Chief ABRECHT. That occurred in the 600 block of 2d Street, is my recollection.

Senator MACK. Since I live on 3d Street, that makes a difference. [Laughter.]

Senator REID. What has happened with crime, generally, in the area?

Chief ABRECHT. On the Capitol Grounds, the crimes of violence showed a decrease of 26 percent for the fiscal year for which we were, of course, very pleased.

Senator REID. What's the reason for that?

Chief ABRECHT. There is a decrease in several categories. The largest decrease was in the number of assaults from 34 to 13.

Unfortunately, we did show some increase in crimes against property. Most of that was an increase in thefts inside of our buildings. So we are involved at the present time in a large effort of education of staff, particularly about leaving property unsecured, to try and reduce that, and also in attempting to identify the perpetrators involved and make some apprehensions. We had success in the past by targeting those two strategies at this problem, and we are going to make another effort to reducing that crime.

Senator REID. Senator Mack.

Senator MACK. It looks like I'm learning lessons quickly around here. We have moved into 3d Street, NE, in August, and in the process of the move, a carload of personal items that we have brought from our apartment over in Crystal City we left in the car overnight. It had rained, and so we were tired and decided to wait until the next morning, and I went out to jog, and I noticed this box out by the entrance way, and I thought, "Gee, did Prescilla go back out and try to empty the car last night," and I asked her about that.

Senator REID. One of your neighbors had done it. [Laughter.]

Senator MACK. We went so far as to actually itemize what was in each of the boxes, and we had a luggage carrier that we used to go back and forth to the airport; that was in the car. So, when they broke in, they really went down and looked at the boxes to see which one had the most valuable items in there, and then they stacked them on the luggage rack and hauled them off. [Laughter.]

Senator BURNS. You're a nice fellow.

Senator MACK. I learned a lesson very quickly.

You folks must love people like us that just create magnates for people who commit crimes.

Chief ABRECHT. I guess the short answer is that obviously you should be able to leave things in your car, but truthfully in any metropolitan area in this country, breaking into cars is a major crime problem.

Senator MACK. What amazed me about the whole thing was that the street lights on 3d Street—I mean, it might as well be daytime at midnight, and it is incredibly bright out there. It didn't seem to bother them one bit. They took their time to go through the items.

Senator REID. How did they get in your car?

Senator MACK. Pried in the back window. It's easy to reach in and unlock the door.

Given that you're kind of faced with a situation where we are asking you to live with fewer resources and at the same time expand your area of responsibility—maybe you all touched on this as I was walking in—how are you going to deal with that? Given that

situation, it seems like you got competing interest there. How is that going to work out?

Chief ABRECHT. We are studying every function that we perform, every post that we cover with a view to finding the best way to provide the service at some lesser cost. We have already identified, with the help of the two Sergeants at Arms, about 25 staff-year posts within the grounds that we think we can consolidate and reduce here and there without compromising security.

We are looking at our entire plainclothes operation to see if there are any savings that can be achieved there. We are looking throughout for ways to perform our function better with the same or lesser degree of staff. We believe that we can do that.

Ms. POPE. The other point I would make is that, by expanding jurisdiction, it was not intended that the Capitol Police become a substitute for the Metropolitan police. It does not mean that the Capitol Police are responsible for all policing in the expanded jurisdiction.

Senator MACK. It's a supplement to it? Is that what you're saying?

Ms. POPE. It really was meant as protection for the police officers so that they could safely make an arrest without concern for their authority.

Senator MACK. So the additional physical responsibilities have not been substantially increased; is that right?

Chief ABRECHT. That's correct. Obviously, when an officer makes an arrest like this, he's taken off the street for a couple of hours to do paperwork and things like that, but we are not assuming the responsibility for that area.

Senator MACK. The number of streets and/or blocks that are being patrolled has not been increased?

Chief ABRECHT. That's correct.

Senator MACK. What from I have been told, the Capitol Police are some of the best-trained officers in the Federal Government.

NEW RECRUIT TRAINING COSTS

Can you give me some idea of the cost of training a new recruit? And the second part of that is: How many people are involved in this training, and what kind of attrition do you deal with in the short period of time after training of a 2- to 4-year period?

Chief ABRECHT. The training costs involve sending them to the Federal Law Enforcement Training Center in Georgia. The cost to us of that training is fairly low. We pay transportation costs, and we pay a small per diem for the officers to be maintained down there. Then they come back here and are trained by our training staff here in Washington for an additional 8 weeks on matters related directly to the Capitol Police and the local laws here in the District of Columbia.

Attrition has varied greatly within the agency over a period of years, so it's kind of hard to tell at any given time. I could tell you what it is for any given year, but it dramatically depends on the economy and depends a lot on whether law enforcement agencies in the area are hiring. Presently, they haven't been, so our attrition rates in recent years have been relatively low.

There have been some years, like in 1987, where we lost a large number of officers to Prince Georges County, when they had an increase, and they hired a number of our people away. So it's really based on that.

Senator MACK. Why were they so eager to go? Maybe that's the wrong conclusion to draw.

Chief ABRECHT. We don't lose all that many, but the younger officers, many are interested in more law enforcement-oriented type of work as opposed to protective jobs such as this. Obviously, the level of police excitement of the sort that you see in television programs or whatever, of chasing bad guys, is lesser here than it is in a municipal law enforcement agency, particularly in one that's very active like the Metropolitan Police Department or Prince Georges County Police Department.

So young officers may find that more interesting than the type of job that we have to offer here.

Senator MACK. But the bottom line is: The attrition or turnover is not high, and it is not something that you consider to be a problem? And again, I get the impression that the cost of training is relatively low.

Chief ABRECHT. We approximate the cost for a first-year officer at about \$41,000, including the selection, all the testing that we do, and all of that, for traveling and per diem. So it's not insubstantial. Obviously, we don't want to lose personnel, but in recent years that hasn't been a problem for us.

CAPITOL BUILDINGS SECURITY

Senator MACK. In another area, can the Capitol Police further expand the use of nonsworn security aids in guarding the Capitol buildings? And maybe you all were talking about this in the conversion to civilian personnel earlier in the discussion, but is that a possibility?

Chief ABRECHT. I think it is a possibility. We would hope to be able to finish our current wave of civilianization, where we still have some 30 positions to go; settle into that level and take a look at how that's working for us, evaluate it. I'm perfectly open to that possibility, that there may be room for additional civilianization.

I think we have done all the easy civilianization. Some of the positions we might be able to civilianize from now on may not see the kind of pay differentials that were attained in the first round. Obviously, when you are replacing an officer who is a typist with a civilian, you save substantial money. When you replace an officer performing some technical skill with a civilian technician, you save less money because the pay for the technician is going to be higher.

As to security aides, I think we have replaced them in an awful lot of positions already. I would want to take a good look as to whether it would be appropriate to replace more police officers with security aides, as I think it would involve putting them in positions where you really do need someone with arrest authority and with some police powers rather than a civilian.

LEVELS OF SECURITY

Senator MACK. One last question which may be more general in nature. I first came in here in 1983, and there has been a significant change in the level of security around here since 1983, I guess with it kind of peaking with the Persian Gulf crisis.

Do we need the same levels of security today as we did a couple of years ago?

Ms. POPE. Obviously, you need a certain level of security at all times. The Capitol has been bombed twice in the past.

We never want to let our guard down. There is no correlation, necessarily, between being at war in the Persian Gulf and something happening in the Capitol. Some things are likely to occur at any time.

Senator REID. And I feel, even though some of my colleagues disagree, that it's important that we have security, I would rather have too much than not enough.

Any time a police officer doesn't recognize me, it doesn't bother me one bit. They treat me like everyone else because I think they have a very important job, and sometimes we tend to take them for granted.

So Chief, I think you and your men do a real good job.

Chief ABRECHT. Thank you, sir.

Senator REID. What happened to the bus we bought last year? Part of it was to be used to transport recruits to the Federal Law Enforcement Training Center. Have we used it for that purpose?

Chief ABRECHT. Yes; that was the purpose for which it was purchased.

CRIME ON AND OFF CAPITOL GROUNDS

Senator REID. On this chart, what does this mean, on and off? I don't understand that. You see burglary 10 on and 323 off.

Chief ABRECHT. On the grounds or off the grounds. The outer perimeter that's used here is one that was used before the expanded jurisdiction, and it was one based on six blocks off the grounds. In future years, we will use the boundary of the extended jurisdiction zone, which is the logical one.

Senator REID. What do you use as on the grounds or off the grounds?

Chief ABRECHT. On the grounds under the jurisdiction of the Architect of the Capitol.

Senator REID. On the Capitol complex itself, things look pretty good, don't they?

Chief ABRECHT. That's correct. I take pride in the fact that we kept the complex relatively free of the kind of crime that people are most concerned about; street crime, in particular.

Senator MACK. Does the nine there, that's not the building number, but that's the number of cases?

Chief ABRECHT. The number of offenses of office thefts within the building.

Senator MACK. They were all office thefts?

Chief ABRECHT. Those are yellow dots, essentially, with the number of the offenses rather than one dot per offense for a building.

Senator REID. Senator Burns?

Senator BURNS. I see I live in the high crime area where it says 33 in the building we are sitting. We are holding a hearing in this high crime area. [Laughter.]

I just want to compliment the Chief. What is your training budget?

Chief ABRECHT. I will be glad to provide that information. I don't have it broken down. We don't budget it in that fashion.

TRAINING PROGRAM

Senator BURNS. You don't have specific amounts of money you spend for training and this type of thing, your continual training? And I would assume that you have continuing training.

But while he's looking for that figure back there, I want to compliment you because I think this is a unique force because of its nature here because you have over 10 million tourists that come here that think they own the building—and they do—and I want to compliment your force, especially on their people skills, in handling the visitors here because most of them are lost—and I know I was the first 2 years I was here, I'm a slow learner—and I used to live in that neighborhood where you live. I never got hit. There is a code among us, but my people do good work down there. And besides that, you didn't have in those boxes what you had on the outside. [Laughter.]

But I just want to compliment you on that. Of course, we are looking for ways to save some money, but in this area, it is pretty tough to do.

That's why I asked you about your continual training program. I'm concerned about that because we get behind new skills teaching new people on the force, and even old people on the force, new skills on what we are doing here. Do you have that figure there?

Chief ABRECHT. I think the figure you want is how much we spend overall on training. I don't have that. I know that we have a budget for this year of \$49,000 for travel for training, to send people to training classes primarily at the Federal Law Enforcement Training Center. That is a big bite.

There is a substantial commitment in this agency to training. I agree with you that there is always a risk, that that's one thing that's easy to cut, and many agencies, to their peril, have found, when the crunch came, they said we will delay training and reduce the amount of training that we do, and I think that's a very dangerous thing to do.

Not on my watch, without some screaming, will I cut the amount of inservice training provided. We will make sure the training is reasonable. I have done that. I did identify some training, that struck me perhaps as being on the fluff side, and it involved travels to distant locations to receive training that might be obtained locally. We looked to see that that was the thing that was needed.

Senator BURNS. Do you require so many hours a year for an officer to attend continued training classes in the District here as part of his duties?

Chief ABRECHT. We shoot to provide 40 hours of training at a minimum in addition to firearms training and things of that nature to mandate it to each officer each year. We have come close to accomplishing that.

Senator BURNS. Are you satisfied with the balance of your administrative costs and the costs of actual people or personnel on the street?

Chief ABRECHT. I think we have a very lean administrative operation, and I am satisfied that our tooth-to-tail ratio is good. The vast majority of our people are out on the street doing law enforcement.

Senator BURNS. That's all the questions I have.

Senator REID. Thank you, Senator.

Senator BURNS. I thank you for the job that you do. You do an outstanding job.

Chief ABRECHT. Thank you very much, Senator. I appreciate that.

Ms. POPE. The Capitol Police officers are extremely well trained, and I would highly recommend that you travel to Brunswick, GA, to the Federal Law Enforcement Training Center. It would be a very interesting trip.

Senator BURNS. I have already been through one of those.

I just want to compliment you. Not under duress, now, or arrest, but I just think that this is a unique area where people skills have to be one of the priorities in doing one's job here, especially those, and I'm amazed at the patience that your people have, and I want to congratulate them, because they are unique, and I'm one Senator that's very appreciative of that.

Chief ABRECHT. Thank you, sir.

We receive a tremendous amount of correspondence, in fact, from constituents who have been here and have appreciated either a specific officer or service, in general, we provided. So apparently, that feeling is shared by constituents.

Senator BURNS. We may have to do more with less, but I think we can do it.

Senator REID. Thank you very much.

ARCHITECT OF THE CAPITOL

STATEMENT OF GEORGE M. WHITE, ARCHITECT OF THE CAPITOL ACCOMPANIED BY:

WILLIAM L. ENSIGN, ASSISTANT ARCHITECT OF THE CAPITOL
J. RAYMOND CARROLL, DIRECTOR OF ENGINEERING
WILLIAM F. RAINES, JR., ADMINISTRATIVE ASSISTANT
EMANUELE CRUPI, BUDGET OFFICER
HERBERT FRANKLIN, EXECUTIVE OFFICER
ART McINTYE, INTERNAL AUDITOR
PAUL PINCUS, LANDSCAPE ARCHITECT
L. GAIL STANLEY, STAFF ASSISTANT
LARRY STOFFEL, SUPERINTENDENT, SENATE OFFICE BUILDINGS
TOM WARD, SUPERVISING ENGINEER, CAPITOL BUILDING
BEN WIMBERLY, GENERAL COUNSEL
DR. BARBARA WOLANIN, CURATOR

PREPARED STATEMENT

Senator REID. The final witness this morning is George White, the Architect of the Capitol. The Architect's office is responsible for maintaining and improving the physical infrastructure of the Capitol complex. The Capitol and its associated facilities are valuable national assets, and substantial investments are required to preserve and enhance them.

The Architect is requesting \$202.4 million for the activities under his direction. This is \$48.1 million, or 29.3 percent, over the amount available for fiscal year 1993.

Mr. White, your statement will be placed in the record as written.

[The statement follows:]

STATEMENT OF GEORGE M. WHITE

In presenting our appropriations request for fiscal year 1994, Mr. Chairman, I intend to proceed, with your approval, in the same manner as has been the practice for the past several years, that is, to present a brief summary of the various requests, following which I will be pleased to respond in detail to questions regarding any of the specific items that you wish to pursue.

The justifications have been prepared, Mr. Chairman, to include all items pertaining to the "Architect of the Capitol," including House items, Senate items, joint items, and the Botanic Garden.

The total appropriation request for fiscal year 1994 is \$212,375,000, which includes funding for 2,087 positions. This represents a net increase of \$48,123,000 over the fiscal year 1993 appropriation total of \$164,252,000. Stated differently, gross increases requested are \$60,628,000 which have been reduced by nonrecurring fiscal year 1993 deductions amounting to \$12,505,000. If the item "House Office Buildings" is excluded, the \$48,123,000 net increase for 1994 reduces to \$33,144,000, of which \$5,419,000 is for Senate Office Buildings.

Before I detail the increases by category, I would like to comment on the size and nature of the requested net increase of \$33,144,000 for fiscal year 1994 over 1993 appropriations totaling \$131,865,000, excluding House Office Buildings. The net amount requested, excluding House Office Buildings, for fiscal year 1994 represents

a 25 percent increase over the appropriated amount for fiscal year 1993. The requested gross increase of \$44,259,000, which excludes House Office Buildings, includes several large items and programs, such as energy efficient lighting programs in the Senate and Library Buildings, \$2,000,000; elevator and escalator improvements in the Senate Office Buildings, \$1,850,000; relocation of the Senate library, \$5,000,000; leasing costs for Postal Square, \$1,505,000; leasing costs for space in the Thurgood Marshall Federal Judiciary Building, \$1,360,000, a total of \$2,000,000 for the first increment of a seven year program to comply with the Americans with Disabilities Act, replacing the roof on the Thomas Jefferson Library of Congress Building, \$7,000,000, and renovation of the Botanic Garden Conservatory, \$5,000,000. These eight programs total \$25,715,000, and account for 58 percent of the gross increase, excluding House Office Buildings.

The \$44,259,000 gross increase, which excludes "House Office Buildings," falls into five categories.

Mandatory Items, which total \$6,034,000, or 14 percent of the increase.—This category includes cost of living pay increases, personnel benefits and premium pay items for existing positions and within-grade salary advancements and other changes authorized by law. I have also included in this amount locality based pay, final guidance for which has not yet been issued. If locality based pay is not approved for the Washington metropolitan area for fiscal year 1994, or if the basis for the increase changes, I will make appropriate adjustments to the requested amounts or withdraw the request.

New Positions, which total \$1,117,000, or 2 percent of the increase.—A total of 24 new positions are requested in the fiscal year 1994 budget, an increase from 1,299 authorized positions in fiscal year 1993 to 1,323 requested positions in fiscal year 1994, excluding House Office Buildings. This includes restoration of nine positions abolished in fiscal year 1993 and conversion of four temporary positions to permanent ones.

In fiscal year 1993, three positions were reduced from the permanent authorized total of 154 for the "Salaries" appropriation, resulting in a total authorized strength of 151 permanent positions. This level of staffing cuts seriously affects my ability to oversee essential services to the Congress, its staff and the visitors to the Capitol complex. In the past ten years, over 1.5 million square feet of space have been added to the Capitol complex and over seven acres have been added to the Capitol Grounds. In addition, new functions have been added to the Architect's mission such as waste recycling, telecommunications, lease management, electronics security, and occupational and work place safety and accessibility. This reduction will weaken the ability to coordinate and manage all the diverse activities for which my office is responsible. At the time these reductions were effected, there were three vacant positions available to abolish: a GS-12 air conditioning engineer position, a WG-12 electronics technician position, and a WG-5 laborer position assigned to the Flag Office. I am requesting that these positions be restored.

The four temporary positions that I again am requesting to be made permanent in the "Salaries" appropriation include our structural engineer, architectural historian, interior design specialist, and assistant to the Assistant Architect positions. These positions have in the past been charged to projects, but it has long been clear that a permanent need exists for these types of staff.

I am also requesting twelve positions in the Capitol Buildings account, which include restoration of five positions abolished in fiscal year 1993 and seven new positions. In fiscal year 1993, ten positions were abolished from the "Capitol Buildings" appropriation. Although this reduction appeared to be relatively modest, it is more than a five percent cut to the staff that maintains the Capitol Building and provides other essential complex-wide services. This would result in service quality below levels considered to be acceptable for service delivery in the Capitol Building. The Architect's office is proud of the dedication with which the Capitol Building maintenance forces perform their duties. However, this excellent service will not be able to continue if these positions are not restored. A thorough review of the abolished positions has been made and it is requested that five of those positions, that is, those that have been deemed the most critical in terms of service delivery, be restored at this time. I am thus requesting restoration of three air conditioning equipment mechanic positions, one painter position and one elevator mechanic position. The seven new laborer positions requested fall into two work categories and are needed to provide support for activities that are workload increases and to improve service delivery. For the day labor force, four positions are requested to provide maintenance and cleaning support to the 8,200 new square feet of space being created by the Courtyard Infill project on the House side and assist in the growing demands for occupant services during normal office hours, including assistance to the maintenance shops, setting up and cleaning rooms used for special functions, re-

sponding to emergency service calls, cleaning windows, chandeliers, woodwork and marble within the building, assisting when needed in the flag flying operation, and other services. The present labor force is not sufficiently staffed to handle all these requests for services on a timely basis, with the result that many service calls are not attended to immediately, while others may be interrupted while the labor force responds to one of a higher or emergency priority. Three positions are also requested for the night labor force to provide for a dedicated rest room cleaning program similar to the one I instituted two years ago for cleaning floors. The latter program has been so successful that I intend to provide the same dedicated night time cleaning service in all the Capitol Building rest rooms on the House side.

Three new gardener positions are requested for the Capitol Grounds appropriation. These positions are required to maintain the additional workload due to increased planting areas and beds. These additional areas include the new raised plant beds on the West Front Terrace, as well as the landscaped areas created by the funding that has been provided for landscape improvements to the Grounds.

In fiscal year 1993, three positions were reduced from the "Library Buildings and Grounds, Structural and Mechanical Care" permanent authorized total of 139, resulting in a total authorized strength of 136 permanent positions. It is requested that one position, an air conditioning equipment mechanic, be restored at this time. Restoration of the position is critical to ensure that the air conditioning units work properly at all times to control temperature and humidity and protect the valuable Library collections.

Finally, I am requesting a custodial laborer position for the Botanic Garden. This position is needed as a result of the expanded cleaning workload created by the new growing facility at D.C. Village. The addition of this position will ensure that the new facility is properly cared for and presentable for the many public programs that are planned to take place there.

Annual Recurring Maintenance, which totals \$6,115,000 or 14 percent of the increase.—This category is required to finance normal maintenance and custodial responsibilities, such as repairs and improvements to electrical, air conditioning and other mechanical systems; procurement of supplies and materials and equipment; cleaning and custodial care; removal of solid, paper and bulk waste; and painting. Of the total increase of \$6,115,000, which excludes House Office Buildings, approximately \$5,755,000 represents price level adjustments. The price level adjustments include increased costs for three large items: the lease of Postal Square, \$1,505,000; an amount of \$1,968,000 for increased costs of electrical energy for the Capitol Power Plant; and an amount of \$1,360,000 for leasing space in the Thurgood Marshall Federal Judiciary Building. The remaining \$922,000 in price level adjustments is for inflationary increases for goods and services. The balance of this increase, \$360,000, is required primarily for improved and expanded service.

Cyclical Maintenance, which totals \$17,149,000, or 39 percent of the increase.—As indicated in the past, I define this category as long term maintenance items that arise only once in ten or twenty years, such as roof repairs, sidewalk replacement and so forth. Two of the largest items total \$12,000,000, and represent 70 percent of this increase in monetary terms requested under this category. They include replacing the roof of the Thomas Jefferson Library of Congress Building, (\$7,000,000), and renovation of the Botanic Garden Conservatory (\$5,000,000). The remainder of the increase, \$5,149,000, is required for several items for property and equipment maintenance replacement.

In past years I have remarked that proper cyclical maintenance is a critical investment in the Capitol Complex, and I am pleased that the Committee has recognized these needs and appropriated monies for the necessary repairs over the years. Funds expended for that purpose are more than repaid through extending the life of buildings and thus avoiding the higher costs of new construction or the larger expenditures associated with major replacement programs. As you are aware, the Bicentennial of the U.S. Capitol Building occurs this year. We plan to celebrate this monumental event in a number of ways, and I have suggested to the Bicentennial Committee a re-enactment of the laying of the cornerstone. Without the maintenance efforts farsightedly funded by this Committee over the past years, the celebration of such anniversaries might never have been able to take place. Surely this world renowned symbol of freedom and democracy should continue to glisten both inside and out.

Continuing and Initiating Other Programs, which totals \$13,844,000, or 31 percent of the increase.—Relocation of the Senate library, \$5,000,000, is the largest item in this category, and comprises 36 percent of this increase. In addition to this project, there is an increase of \$2,000,000 being requested for retrofitting energy efficient lighting in the Capitol Complex (excluding the House Office Buildings). This is broken down as \$1,000,000 included in the "Capitol Buildings" appropriation base,

\$1,000,000 for the Senate Office Buildings, and \$1,000,000 for the Library of Congress Buildings. The total scope, cost, and financial and energy savings of this multi-year program are being determined by a pilot study funded in the fiscal year 1992 budget. The initial economic analyses indicate that this program does have significant potential for saving energy and dollars, and thus I have requested additional funds so there is no delay in implementing the program once the pilot study is approved. Another new program is our initiative to respond to the Americans with Disabilities Act. Funds totalling \$2,000,000 are requested in the Capitol Buildings, Capitol Grounds, Senate Office Buildings, and Library Buildings and Grounds appropriations as the first increment of a seven year program to meet the requirements of this important program to make all our facilities accessible to all Americans. Several other items, which total \$4,844,000, comprise the balance of this request.

I would also like to mention briefly three major projects and their progress.

The first is the restoration of the West Front terraces and the courtyard infill project. The design was completed early in 1991, and bids were received shortly thereafter, with the acceptable low bid being below the budget estimate. Upon approval of a request to proceed, a contract was awarded on March 7, 1991, in the amount of \$11,378,000. The Contractor mobilized on-site during early May and the Terraces were closed for construction on May 21, 1991. The Contractor is virtually complete with all the work. The work on the upper, middle and lower terraces is complete. The work within the courtyard infills is virtually complete. We are now working with the Contractor to complete the final punch list items. During the course of the Project, numerous unpredictable and unforeseen conditions were encountered, which required the expenditure of additional funds for redesign and changes to the construction. The costs for these necessary changes required an additional reprogramming request, in the amount of \$2,815,000, which was approved by the Committees on Appropriations in October 1992. As you know, final work on the Project was coordinated so that the Inauguration could take place on the West Front. I am pleased to report that that event was extremely successful from our standpoint.

The Library of Congress Renovation and Restoration of the Thomas Jefferson and John Adams Buildings is continuing to progress well. A contract in the amount of \$18,760,000 was awarded for performance of the major portion of Milestone IV (Phase II) renovation work. All work is scheduled for completion in May 1994, which is the same completion date reported last year at this time.

With regard to certain delays on the restoration project, I again want to assure the Committee that ongoing discussions between members of my staff and the Library of Congress have increased the level of project coordination and communication of needs on both sides. Cooperation on the interim occupancy milestone, which involved Library of Congress moves, was a very critical schedule issue, and we worked closely together on that to ensure that the transition proceeded smoothly. I am closely monitoring the interaction of my staff, the Library, and the various project contractors to assure that no delays arise from foreseeable or preventable issues.

As I have stated in the past, I have intended to keep the Committees and the Librarian informed of any potential change in the financial condition of the project. As the project is nearing completion, it now appears that in order to complete all planned activities, the budget will be exceeded by about 4 percent, including a small contingency. Although the estimated shortfall of \$3.2 million is deemed to be well within reasonable limits, particularly since the \$81 million budget was estimated in 1983, ten years ago, it is nevertheless a disappointment in the light of today's financial constraints. The shortfall, which is remarkably small in the light of the complications associated with the prosecution of a major, complex restoration project over a period of ten years, results, among other things, from the absorption of a number of items over the years that were not part of the original program.

Either additional funds will have to be forthcoming, or some items in the present remaining program may have to be eliminated or postponed. I have previously submitted a detailed analysis of this circumstance for the Committee's consideration.

Development of the Thurgood Marshall Federal Judiciary Building was completed according to the original schedule, by October 1992. The building is occupied primarily by the agencies of the Judicial Branch that previously were scattered among several locations.

In addition, subject to further approval by the House and Senate Committees on Appropriations, the Senate Committee on Rules and Administration, and the House Office Building Commission pursuant to authorizing legislation, a portion of the building will be occupied by support staff offices of the Architect of the Capitol, which will vacate space in two House office buildings for this purpose. The AOC oc-

cupancy was previously directed and approved by the House Office Building Commission and the Senate Committee on Rules and Administration. Recently I sent the above mentioned entities letters requesting their approval to proceed with this plan. The Senate Committee on Rules and Administration has responded by approving the move.

Finally, I would like to address the Legislative Branch Telecommunications Network (LBTN). I am pleased to report that the LBTN Team is on the verge of accomplishing numerous goals established and implied by this Committee and set out in the provisions of Sec. 305. The LBTN Team has nearly achieved a common system architecture that ensures maximum interconnection capability and engineering compatibility for voice, data and image communications. The Team has met on a regular basis to develop this program, taking timely advantage of industry advances which have clarified and strengthened our direction by establishing standards that were anticipated by and are in concert with the LBTN approach. The Legislative Branch support agencies, as well as the House and Senate, have all contributed greatly toward achieving these goals by implementing our telecommunications network in stages, in part driven by the LBTN Team work and in part driven by technology available in the industry.

Last year I reported that we were at the point where this vision was nearing its realization. This Committee provided funding in an amount of \$245,000 needed for the remaining linkages and pieces to this overall telecommunications structure. The LBTN Team has agreed on the linkages and we are in the process of implementing those improvements. Once complete, which is anticipated this summer, we will have in place a Hill-wide telecommunications system which is, in effect, a high speed highway over which any agency or congressional office can send and receive a high volume of voice, data and image transmissions. Coordination of this system is achieved by each agency determining its own needs for access and information protection, yet working in concert with the whole LBTN Team. The LBTN will continue to evolve as Congressional needs change and technological advances expand the services available to us, but the basic infrastructure that we have worked toward will be a sound foundation on which to build for the future. I am prepared to discuss this system as the Committee desires.

Mr. Chairman, that concludes my brief summary and I shall be pleased to respond to questions that you and the Committee may have.

PREPARED STATEMENT OF SENATOR BURNS

Senator REID. If you have remarks, want to elaborate or condense your statement in any way, you're welcome to do so at this time, and what we would like to do is proceed to questions.

Do you have any statements?

Senator BURNS. I have a statement I want to put in the record, Mr. Chairman.

Senator REID. That will be the order.

[The statement follows:]

STATEMENT OF SENATOR CONRAD BURNS

Mr. Chairman, thank you for holding this series of important hearings. Yesterday we heard from the Secretary of the Senate, the Sergeant at Arms, who we are to hear from again today, the Office of Technology Assessment, and the Congressional Budget Office. Today, we will hear from the Capitol Police Board, the Architect of the Capitol and the Government Printing Office.

Each of these offices perform valuable functions for the Senate—in the case of the Capitol Police, sometimes those services can be literally lifesaving—and each can make a strong case for increased funding. Costs are going up, unfunded mandates on these federal offices are going up. In many cases it is the Senate itself that is to blame for the increased costs these offices experience.

But the plain facts of the matter are that there is simply no money left in the till. We are adding \$1 billion a day to the deficit of this country. We are literally spending our children's inheritance.

I know that spending cuts are tough, but President Clinton has committed to cuts in the Administrative branch that will exceed \$500 billion over the next 5 years. We have an obligation to make the same sort of proportional cuts in the Congress.

Thank you, Mr. Chairman.

HIGHLIGHTS OF STATEMENT

Senator REID. Please proceed.

Mr. WHITE. Thank you, Mr. Chairman.

I want to make a few comments. I won't read the statement, but I may make a few remarks about it, and then maybe highlight one or two items in it.

I wanted to say first that it's embarrassing, really, to ask for that kind of increase in light of what we all know is a stringent financial circumstance and the constraints that have been placed on all of us.

On the other hand, as I think I have said in previous years, I feel that we would be derelict in our professional duty if we didn't bring before the Congress all of those items that are necessary to properly maintain the infrastructure and the shelter for the Congress. And then, of course, the decision is up to the Congress, and up to this committee, as to what is to be done and what isn't to be done.

So these are the facts. I sometimes think, because I am a messenger bringing bad news, that I need to wear a bulletproof vest so that the messenger survives, even though the news isn't so good.

I say that because I'm as aware as anybody of the need for financial constraint, but these are the facts. If you don't fix a roof, it creates further problems. Whether you should fix it this year or next year is always a question, and we keep postponing things when we are at times of financial stringency, but it won't go away. If you have a toothache and say, "I'm not going to go to the dentist this year," it probably gets worse.

We go to the dentist twice a year, we go to the physician once a year—most of us—for preventive dentistry and preventive medicine. We engage in preventive maintenance, which, over the long run, is less costly than letting things go.

So these are difficult times and difficult judgments to make, and I just wanted to say I'm aware of that and that those are the reasons we are asking for the increase.

BUDGET PRIORITIES

Second, for every item in our budget, we set a priority in accordance with past practice as well. We have really five priorities. One of them is what we call nondiscretionary; those things which are required by law. Then we have a critical category, a highly desirable category and a desirable category.

There is a fifth one which we don't name because it includes the items that I have eliminated from the request in the budget before it ever got to you; the staff people come to me with requests, people at the operating end of the office, many of which I have eliminated up front, so there are really five categories in that sense.

Senator MACK. Tell me what those five categories were again.

Mr. WHITE. Nondiscretionary, critical, highly desirable, and desirable. The fifth one isn't named. It's my prerogative. So I eliminated some requests before submitting the budget.

Every item in our budget is categorized. Those are matters of subjective judgment, and to some degree, there are policy issues

that are involved in what is critical and what isn't. Something that is critical at one time may not be critical at another.

Please bear in mind these priorities were established back in October and November when the budget was prepared. Circumstances change, so some of the priorities may need to be changed.

In that regard, we have one item in there which we have established as critical and which is a \$750,000 item for an uninterrupted power supply for the Library of Congress. We are withdrawing that. Since the time of preparation of the budget, the Library was able to acquire a mainframe computer which can use the same uninterrupted power supply that it presently has. That is the \$750,000 we are withdrawing.

But at the time, it was categorized as critical. Since that time, the circumstances have changed. We have submitted, for those items for which it is necessary to do so, to the Senate Committee on Rules, our priorities, and they have disagreed with one or two of them which we changed accordingly. You, too, might disagree with some of them.

As I say, these are largely subjective judgments, but they are all established by my office at the first go-around, categorized as I just described.

FUNCTION BUDGET

Third, I would like to call attention to the fact that in the last several years we have submitted something along with our regular budget which we call a function budget. We have divided the activities of the office for the function budget into functions rather than appropriation categories such as House office buildings, Senate office buildings, Capitol buildings, Library of Congress, et cetera, which is the way the appropriations are set up. And yet, for example, we have elevators in every building.

So the function budget divides the dollar expenditures up in terms of function: Transportation being one function, vertical transportation in the forms of elevators and escalators, subways as horizontal transportation as well as the shuttle bus, et cetera.

So we have a number of categories. We have a construction category, electronics category, and energy category. We are in the energy business. We supply heat and chilled water to all of the buildings on the Hill from the power plant, as well as to the Government Printing Office and to Union Station and to the Folger Library. We are sort of a public utility in that regard. We have an energy management and control system which is computerized. So we are in the energy supply and management business.

We are in the environmental safety business: Air pollution, asbestos removal, hazardous waste control. I describe it that way because one way of looking at the Architect's office is that we maintain buildings, and we are doing architecture, then we do some other things on the side. The other way of looking at it is through the function budget, that we are sort of a holding company for a series of operating entities. When you have 250 elevators and escalators and you have to maintain them, if you were in the private sector, that would be a big maintenance company. And that's just a piece of what we do.

So a function budget really explains a great deal of what we do in a different way, and is kind of descriptive of the office operation. And it's interesting to note in that regard that, for example, in the energy field, 19 percent of our budget, in round numbers, is in the energy category, and yet only 4 percent of our positions, our people, are in that category.

Again, when you begin to talk about percentage cuts, it's difficult in any enterprise, as I'm sure you would agree, to make the same percentage cuts all the way down the line.

I can reduce the body of my car by 10 percent by taking off a fender or two, but I can't reduce the engine by 10 percent. There are obviously places where things can be done to comply with the reduction, but across the board is difficult to do, and I think the function budget is a good way to explain that. So I will let it go at that, Mr. Chairman.

I think with that, I have covered everything I need to in highlighting except one other item, Mr. Chairman. In our statement, just to highlight, there are some major items mentioned.

Senator REID. I have read your statement, and we will ask you some questions.

Mr. WHITE. Why don't we do it on that basis.

BACKGROUND OF THE INCUMBENT ARCHITECT

Senator REID. Mr. White, would you give the committee—because I think we tend not to recognize the importance of the Architect—a description of your background and experience.

Mr. WHITE. Well, I'm a graduate engineer with a master's degree in electrical engineering. I'm an architect. I'm a lawyer. I'm a graduate of the Harvard Business School.

Senator REID. I knew that, and the reason I mention that is sometimes we tend not to recognize the importance and the qualifications of the Architect, and I want that put on the record.

Mr. White, you have told us that you feel you have the responsibility to come here and tell us what you think is needed, and then it's up to us to whack and cut, and you do the best you can with what's left over.

Mr. WHITE. That's correct.

IMPORTANCE OF CLEANLINESS

Senator REID. I'm glad to see my friend from Maryland here—when I first got this chairmanship of this subcommittee, Senator Mikulski's colleague from Maryland and I walked around the Capitol, and he asked me if I would take a walk with him. Being a Senator from Maryland, he has many more of his constituents come here than I do; that's not a comparable number. Thousands and thousands of his constituents come here each year. I have a few hundred.

The point is that Senator Sarbanes stressed the fact that he felt that it was important that the Capitol Grounds look good, that the buildings be cleaned, the restrooms be spotless.

And before we start talking about power stations and elevators and escalators, tell us about how you're going about keeping this facility clean. And then, is that, in fact, your responsibility?

Mr. WHITE. Yes; it is the responsibility of our office. In that regard, as I described earlier, we are basically a service organization. We don't manufacture anything. We may build a building now and then, but a special law is always passed for that purpose.

So, in the course of being a service agency, we employ many people. We are a labor-intensive outfit. Sixty-three percent of our budget is for people; 81 percent of those people are wage-board people: carpenters, electricians, trades people as well as laborers, et cetera.

We have concentrated very much on cleanliness. We think that the U.S. Capitol ought to glisten. It belongs to the people, and it ought to look like we are proud of it and taking proper care of it. We have done a great many things to do that. It takes a great many people to do that. We are asking for that in the budget.

DEDICATED CLEANING PROGRAMS

Senator REID. I noted in your statement that you have developed on the House side, as I recall, a new program for night restroom cleaning.

Mr. WHITE. That's correct.

Senator REID. Tell us how that started and how that's working out.

Mr. WHITE. Well, we are hoping to get a few more people in order to do that because we have some 14 toilet rooms to clean. And we don't clean the Senate side. I'm talking about in the Capitol. But on the House side, we are responsible for cleaning. We don't have enough people to properly clean those toilet rooms at night every night, and so we are asking for a couple of people for that purpose.

But we did concentrate on the halls, on the floors. We established a crew of seven people who nightly clean the floors in the Capitol—not the entire Capitol, all of the House side but not all of the Senate side. I am talking about the public corridors.

Senator REID. Gentlemen and Senator Mikulski, isn't this a funny system, that you would think one would do it all?

Senator MACK. When you say the Senate side, are you referring to the Senate office buildings?

Mr. WHITE. No; I'm talking about the Capitol, now. We clean the Senate office buildings.

But in the Capitol itself, the Senate Sergeant at Arms cleans the interior of all of the offices on the Senate side of the Capitol, and also cleans some of the public corridors.

Senator REID. How long has that been going on? Forever?

Mr. WHITE. As long as I have been here.

Senator BURNS. That's forever. [Laughter.]

Mr. WHITE. Well, I think the reason for it began with the Senate's desire to have security provided by the Sergeant at Arms and not have outside people come in to do the cleaning. I'm not sure that same need exists at the moment, but that's just always been that way. Certain of the public corridors we do.

But cleanliness is a major part of what we do.

SIDEWALK REPAIR

Senator REID. One of Senator Sarbanes' pet peeves was some of these beautiful walking areas where we have stone which is patched with asphalt. Has that been taken care of?

Mr. WHITE. Yes; as you know, that was done on the sidewalks.

Senator REID. That's right.

Mr. WHITE. And we gradually repaired sidewalks and replaced those broken pieces.

Sidewalks are part of what we term in our budget as cyclical maintenance. We don't have a reserve for replacement or a depreciation account, and so there is a tendency for us not to recognize that certain things deteriorate over 10 years or 15 or 20, and then when the time comes to replace them, it amounts to a large amount of money, but we don't put anything aside under the accounting system each year for that purpose. So sometimes the sidewalks will need repair.

In the past what we have done is use asphalt as a quick and easy way of modifying the condition where there are changes in elevation in the walks so people don't trip over there, and generate tort claims and that sort of thing, and that did look pretty bad. We have since painted those areas to make them look like sidewalk instead of asphalt. And then as time goes along, we have been replacing those.

I think they are in good condition now.

WORKLOAD INCREASES DUE TO COURTYARD INFILLS

Senator REID. What added responsibilities do you have as a result of the construction work that has taken place over the last several years on the west side of the Capitol?

Mr. WHITE. That's come directly under our office, of course. We have restored the west front of the Capitol.

Senator REID. I used one, and I participated in the use of one of those large conference rooms for a joint meeting with the House recently, and it's really quite nice.

Mr. WHITE. Thank you.

And the same thing is true on the House side. It's done equally on both sides.

When we did the west front restoration, we completed it with about \$25 million left over. Approximately \$19 million of that has been used to restore the terraces, fill in the courtways, and add to the surface of the terraces.

Senator REID. Which in no way changes the exterior of the Capitol?

Mr. WHITE. No; as a matter of fact, you probably noticed when you went in there, against the Capitol building itself we have a glass skylight, and the corridor runs underneath it. The reason for that is to retain the visual integrity of the restored wall. The appearance is that the glass is just touching the wall. It penetrates the wall to be waterproof, but visually it looks like a piece of glass touching the wall. From up above on the terrace looking down, or from in the corridor looking up, you see the entire restored wall, so we did that purposely.

WEST LAWN LANDSCAPING

Senator REID. How about the landscaping? It took a while to get that back in process.

Mr. WHITE. That's all in process. By spring, you won't notice that there had been any ceremony there at all. Our grounds crews will have planted seed and, if necessary, sod it to bring it back to its original appearance before the inaugural.

Senator REID. It's my understanding, though, as a result of the courtyard's infill that you are requesting some extra help.

Mr. WHITE. On the House side. On the Senate side, the Sergeant at Arms cleans the additional space. We added the 16,400 square feet, 8,200 on each side, and it takes a certain number of people to clean that amount of space every night.

Senator REID. You listed your category of requests. The first one was mandatory. I forget what you called it.

Mr. WHITE. Nondiscretionary or mandatory.

Senator REID. You had five different categories?

Mr. WHITE. That's right.

Senator REID. The top one is called what?

Mr. WHITE. We called it nondiscretionary, and you could also call it mandatory.

Senator REID. What are those requests for?

Mr. WHITE. They are items that are required by law: the step increases, et cetera.

Take, for example, the locality-based pay; if that's not enforced or if the COLA for 1994 is not enforced, our requirements are reduced by almost \$3 million. That's in this budget, as though they were going to be approved. Of course, that was long before there was going to be any discussion about it.

Senator REID. As you know, the legislative branch has met the standards set by the President to cut personnel by 4 percent and administrative costs by 14 percent over the next 4 years. In that you have a relatively large budget within the legislative branch and a lot of what you do makes up administrative expenses, we can take from you and it helps a lot of the others because you're so large and most of the others are high in personnel and low in administrative expenses.

So we are going to have to take a real close look at some of your functions.

AOC POSITION TASK FORCE

Mr. WHITE. In that regard, Mr. Chairman, I have established a task force which is in the process right now of examining every position that we have because we have tried to be lean and mean over the years. For example, I believe we used to have, 10 or 12 years ago, 60 or 65 elevator mechanics all over the Hill. We now have 50, more or less. On our own, we have tried to become more efficient. We have tried to be mean and lean as well as we can. It's not perfect.

Some of our people—not many, but some of our people—are like firemen in the fire station. You may not be putting out fires every day, but when you need them, you have to have them there. There are not many like that.

Because we are maintaining infrastructure, from time to time you get those kinds of problems. We have some temporary employees that we hire for those purposes and let them go when the project is finished. We are examining every one of those so we will be in a position to be able to deal with the problem you describe.

MODERNIZATION OF RUSSELL BUILDING ELEVATORS

Senator REID. I want to give my colleagues time to ask questions, but I have a certain number of questions.

What about the elevators on the Senate side, specifically in the Russell Building? And tell me how important you think they are.

Mr. WHITE. Well, you may remember, Mr. Chairman, that several years ago there were lots of complaints about people waiting for elevators. Justifiably, because we had a lot of down time with elevators. They're old elevators, and they need constant attention. We improved that to a large degree. There are very few elevator complaints by people who have to wait too long for the elevator or discover that it's in repair and they have to find another location.

So we improved our maintenance quality substantially with the expenditure of additional maintenance funds and by getting more efficient in how we operate, for example, by centralizing work orders through a computer. We have in the office of the superintendent computerized monitoring of every elevator, so we have come a long way in improving maintenance.

On the other hand, there are still old elevators, many of them with what we call a hybrid control system, partially electronic and partially electromechanical with the clickety-clack switches that you used to hear on the old elevators. We still have some of those.

Our request is for funding to improve that and minimize any down time, particularly in some of the controls which are not available anymore. We have built some of our own parts in order to keep these units going.

There again, should that be categorized as critical or highly desirable or desirable? Or postpone it? These are policy issues. Obviously we can walk the stairs, too.

SENATE LIBRARY RELOCATION

Senator REID. Tell me about the \$5 million request for the relocation of the Senate library.

Mr. WHITE. That is to relocate the library from the Capitol over to the Senate office buildings.

Senator REID. We were told yesterday by Joe Stewart that we had one-third of that in a warehouse and one-third of it someplace else and one-third of it in the Capitol. I can't remember what it is.

Mr. WHITE. That's correct. There are different locations. Those would all be consolidated over in the Senate office buildings in space vacated by the move to the Postal Square Building by other functions in the Senate.

Senator REID. What is the lease of the Postal Square Building? The \$1.6 million request. What is that? The same thing?

Mr. WHITE. Same thing.

Senator MACK. Can I ask a question?

Senator REID. Sure.

Senator MACK. What is the difference between the Senate library and the congressional library? If we are going to move the Senate library out of the Capitol Building, why do we need it, I guess, if the Library of Congress is just right across the grounds?

Senator REID. The Senate library would then move to Postal Square?

Mr. WHITE. No; it would move to the Dirksen-Hart Building complex in the space vacated by the portion of Sergeant of Arms activities that were moved to Postal Square.

But we are just the architects, Senator.

Senator MACK. We are giving you a hint of who I should ask that question to.

But who was your suggestion?

Mr. WHITE. I was going to suggest the Secretary of the Senate under whom that library is operated.

INTRODUCTION OF SENATOR MIKULSKI

Senator REID. Gentlemen, would you allow me to call Senator Mikulski out of order?

Senator MACK. Sure.

Senator BURNS. Senator Mikulski, you are out of order. [Laughter.]

Senator MIKULSKI. But not out of sorts.

Senator REID. Please proceed.

Senator MIKULSKI. I thank you very much, Mr. Chairman, and I thank my colleagues for the courtesy. I have a meeting on a FEMA investigation.

Senator MACK. That's very important.

Senator MIKULSKI. Senator Mack, you know about part of the problems we are facing there.

Mr. Architect, you rightfully said that your budget is not about only buildings; it is about your work force, and that it is a very labor-intensive work force and at the wage-grade levels. And that's the thrust of my questions. I'm very concerned about that work force, too, because they're the ones that make the Capitol what it is. Everyone in questioning indicates that.

GAO STUDY OF ALLEGED DISCRIMINATORY PRACTICES

But as you know from our conversations, I have been in communication with you about both allegations and concerns related to discriminatory practices, the concern related to affirmative action, and also a hostile work environment that has been generated.

I had asked GAO to do an investigation last year, and I understand the results will be coming out in a few weeks, and they will be briefing you.

Can you tell me that, in those areas that I have brought to your attention related to the fact of concerns about the discriminatory hiring, discriminatory promotion, what steps that you have taken, what are your goals, what are your timetables, and what resources do you need to have to address those issues?

Mr. WHITE. First of all, our goal is to be certain that those kinds of circumstances don't exist. I won't tolerate any circumstances of that kind. That doesn't mean that it doesn't exist, but we have to

find out about it and resolve it. That's the first statement I would like to make.

We have made progress in that regard as these items have come to our attention. We have recently had a case before the fair employment practices entity of the Senate, where someone felt they had been discriminated against. It was found in our favor.

Senator MIKULSKI. Mr. Architect, I'm glad that that case worked out, but I'm seeking here the concerns about pattern and practice, not about individual cases.

COMPREHENSIVE PERFORMANCE MANAGEMENT

Do you have a comprehensive performance management system?

Mr. WHITE. Yes; and furthermore, we have recently appointed a fair employment practices individual. I won't call it an office because it's just one person at the moment. It's a place we didn't have before. It was formerly within our human resources division——

Senator MIKULSKI. Do you have a comprehensive performance management system, and when was that operationalized?

Mr. WHITE. I don't know what that means. We don't have anything that's called by that name.

Senator MIKULSKI. Do you have standards for merit-based hiring and promotion?

Mr. WHITE. Yes.

Senator MIKULSKI. And do you have standards for merit-based hiring and promotion?

Mr. WHITE. Yes; we do.

Senator MIKULSKI. Are your workers aware of it? Are your managers aware of it, and is it implemented, and do you have a review process that standards for merit-based promotions are in effect?

Mr. WHITE. Yes; and we have biweekly meetings with our building superintendents in order to interchange information to make sure they understand that, and then that information is disseminated, we hope, as well as possible to the foreman and to the people. We try our best to do that.

Maybe we have shortcomings that we still need to address, but we are trying.

Senator MIKULSKI. Well, I'm somewhat at a disadvantage here because the GAO report is scheduled to come out, and I have been asked not to comment on the preliminary findings.

However, from what I have been briefed on, the preliminary findings do not match some of the content of this conversation.

Mr. WHITE. Well, the GAO has asked to meet with me—which they haven't yet—on Friday of this week, the day after tomorrow. So I would be in a better position to understand what it is. We have opened everything up to them.

Senator MIKULSKI. Mr. Architect and Mr. Chairman, I would like very much that, after you have been briefed by the GAO and that Senator, you as chairman, you are made aware of what is right that's working and what is not working in terms of those issues related to comprehensive performance management, merit-based promotion, because when we talk about equal opportunity, we are not talking about special privileges, but based on merit that people are promoted, and that where there are deficiencies that we would see what your management plans are to achieve the recommendations

of the GAO report, you give us a management plan, you give us your strategy, you give us your timetable and what you need to do it.

Mr. WHITE. I would be glad to do that.

As a matter of fact, we will be eager to implement whatever deficiencies are found, because if there are some, we want to change that.

Senator REID. What we will do, Senator Mikulski, is also leave this record open so that you can ask any written questions or anyone else.

Senator MIKULSKI. We would appreciate that, Mr. Chairman, and also I would like the answers for the record would also go to me, because this is an area that has been brought to my attention because it's a substantial number of the employees here are either residents of the State of Maryland, or if they're residents of the District, their family members live in Maryland.

And we are concerned about the fact that, for those who seek to be promoted based on merit, that that has not been a pattern of practice, and there seems to be no management mechanisms or management oversight to insure that.

ALLEGATIONS OF HOSTILE WORK ENVIRONMENT

That goes to my second question. Many of my constituents have raised issues around the hostile work environment based on race, and you and I have talked about that, where it's not a single bad joke or someone saying something that is just not proper, but a hostile work environment, which is a very serious one.

Mr. WHITE. Of course it is.

Senator MIKULSKI. I wonder what your findings have been on that and what steps you have taken about that.

Mr. WHITE. We have taken steps to be certain that the building superintendents and the foremen are aware of these accusations, and we made our own management efforts to change those conditions where they are said to exist. That doesn't mean that they will have changed. It may be that some people are committed within themselves to that kind of an attitude, and they were hard to discover.

But we certainly won't tolerate it where we can find it and do something about it, because I certainly agree, as you and I have discussed, a hostile environment is not a place where people can feel comfortable.

Senator MIKULSKI. That's right.

Mr. WHITE. And some of that hostility can be very subtle. It can be in facial expressions, it could be in things that are not said as well as things that are said.

These are very difficult areas to resolve, and to resolve in the sense that someone is accused of that conduct.

Senator MIKULSKI. But are you aggressively working on that?

Mr. WHITE. Yes; by aggressively, we are talking to our supervisors.

Senator MIKULSKI. And do you have regular meetings to see how this is progressing?

Mr. WHITE. Yes.

AOC INVOLVEMENT IN WORKER RELATIONS

Senator MIKULSKI. Do you actively involve yourself in it?

Mr. WHITE. Yes; I haven't been personally as actively involved as I was, but my administrative assistant is meeting on a regular basis with the building superintendents. I have attended some of those meetings, but not all of them. They meet regularly.

It may be that we need to do more, but we are certainly not ignoring the problem.

Senator MIKULSKI. Right. And for my colleagues here, we are not talking about political correctness here. We are not into that, but my constituents have come to me about jokes, about things pinned in the locker room. After the Rodney King verdict, one of my employees, an African-American employee, found a hangman's noose hanging in his locker. So we are talking about serious things.

For 1 year, I have been working on this, so I want you to know that this is not some politically correct crusade about precise language we might find on a liberal campus. But I am into the respect and dignity of the employees and not having the hostile environment.

Mr. WHITE. I agree absolutely.

Senator MIKULSKI. So we are going to look forward to the GAO report, and I know my colleagues will, and I need your assurances that you will have these strategies and these timetables and these management mechanisms for merit-based promotion and an environment that reflects the tone of the U.S. Senate.

Mr. WHITE. I absolutely agree. That's what we hope is in existence now. There are obviously people who feel it is not, and there must be instances that are valid that they are complaining about, but we intend to change that.

Senator MIKULSKI. Thank you again, Mr. Chairman.

Senator REID. We will keep this record open, and Senator Mikulski and I and anyone that cares to as member of this subcommittee submit questions to you and have you respond as soon as you have a chance to read the GAO report.

Mr. WHITE. Certainly.

Senator REID. Senator Mack?

LARGE PROJECTS DRIVING INCREASES

Senator MACK. I would be interested in knowing what several projects really is driving the increase that we are seeing.

Mr. WHITE. Well, just very briefly, let me state them. There are several large items. The energy efficient lighting program amounts to \$2 million, excluding House office buildings.

Senator REID. Is that in the Russell Building where you lower the roof, or is that something else?

Mr. WHITE. That's something else.

Senator REID. What is that?

Mr. WHITE. Lowering the ceilings in the public corridors.

Senator REID. What is the reason for that?

Mr. WHITE. For the modernization for the electrical power capacity in the building, and that's where we are running horizontally through the building, through the lowered ceilings. In some of

those old buildings, some of that wire was put in in 1908, and some of the switches are the same; that's what that is all about.

We have \$2 million for the Senate library in this budget. We are not talking about the House side here.

Elevator and escalator improvements, \$1,850,000. Relocation of the Senate library, \$5 million. Leasing costs for Postal Square, \$1.5 million. \$7 million for the Thomas Jefferson Building of the Library of Congress roof replacement. Renovation of Botanic Garden, \$5 million. Those programs total \$25,750,000.

Senator MACK. Is that in the critical category?

REPLACEMENT OF THE JEFFERSON BUILDING ROOF

Mr. WHITE. Some are in the critical category. Not all. And that can be reexamined. As I say, it's a subjective judgment as to what's critical. We put the \$7 million roof in the Thomas Jefferson Building in the critical category. That roof is almost 100 years old. It's been patched and repaired. We recently, 4 or 5 years ago patched in a major area, and maybe it could go another year.

But at some point, that old copper gets spongy. You can't even tell where the leak is coming from. It sort of absorbs water. There are modern methods of thermal graphics using infrared to tell you whether moisture is detected under the roof, and we have been using those methods to determine the problems.

Can it wait? It probably can, but sooner or later it must be done; next year there will be another reason, of course, to not spend the \$7 million. So I bring it to your attention for this kind of policy judgment.

Senator MACK. Is this the first time this has been brought to our attention?

Mr. WHITE. Yes; this is the first request for replacement funds. The design of the roof replacement was funded in fiscal year 1991.

Senator REID. What building is this?

Mr. WHITE. The Thomas Jefferson Building in the Library of Congress. It's a major item.

Senator MACK. That building is undergoing renovation now.

Mr. WHITE. Yes; we are almost finished with it. We will be finished in May 1994. It's really 15 months or so from now, and we will have spent \$81 million on that; we really need to keep the roof tight so we don't damage the interior.

Senator REID. How much is the roof?

Mr. WHITE. \$7 million is the total.

We can do it in two phases. It's more costly to do it that way.

Senator MACK. Would that be one of the top priorities from your perspective?

Mr. WHITE. Yes.

Senator REID. There are a lot of machines in there that will be messed up by the water.

Mr. WHITE. We just keep our fingers crossed and patching and patching.

FUNDRAISING FOR THE NATIONAL GARDEN

Senator MACK. You mentioned Botanical Gardens. I saw something not long ago about a press report where private funds may be sought. Is that feasible?

Mr. WHITE. That's for the National Garden. They have raised something close to \$1 million, I believe, privately for the National Garden.

There was legislation passed which established a National Garden, but the funding for it was never provided.

Senator MACK. This is separate from the Botanical Gardens?

Mr. WHITE. It's connected with the Botanic Gardens, but we are not requesting funds for the National Gardens. We are requesting funds for the replacement of the Palm House that had to be dismantled because it was composed of an alloy of aluminum that deteriorated. This was one of the first structural aluminum buildings ever built back in 1934.

Senator REID. This is something on which we had no alternative.

Mr. WHITE. We had to take it down, and we are now asking for funds to replace it.

Senator REID. As I recall, they wouldn't let people go through that part of the building.

Mr. WHITE. We were afraid that during wind storms, the whole thing would collapse.

Senator REID. Why didn't we do the roof of the Jefferson Building first before we did all the work inside?

Mr. WHITE. Well, we hoped that it would be something we could postpone as long as possible. We have postponed it now for as long as 10 years.

Bear in mind that the estimates and the designs for the restoration of the Thomas Jefferson Building were done in 1983. At that time we thought the roof was in partially bad shape, but not that bad, so we decided to proceed with it as is.

Senator REID. Has the roof ever been worked on?

Mr. WHITE. Yes; we have replaced sections of it. At this point it's impossible to just replace a piece.

AFFECT OF REDUCTIONS ON MEMBER SERVICES

Senator MACK. The only other question I have is maybe to bring home a little bit closer to the Members, if you receive, say, a 5-percent reduction from last year's level, what impact is that going to have on Members with respect to the services provided to them?

Mr. WHITE. It will have some effect.

Senator MACK. I saw a couple of heads nodding back there.

Mr. WHITE. Five percent reduction from last year's budget will eliminate all of the items in this present budget for 1994, all of the desirable items, all of the highly desirable items, all of the critical items and a substantial part of the nondiscretionary items.

So it would decimate our operation to do that. When you eliminate the nondiscretionary items, that means mandatory payroll costs, for the most part. So it would reduce what is already required to be paid. There would be no way to make up for that, except to lay people off. There is no money available to make up for that reduction.

There are, however, some programs in the 1993 budget that could probably be eliminated.

Senator REID. You got that MBA to figure something out.

Mr. WHITE. There are some programs, but there are not enough dollars to do it in programs alone. It would eat into the staff remuneration at that 5 percent, and we have the figures to show that.

Senator MACK. That's all, Mr. Chairman.

Senator REID. Senator Burns?

Senator BURNS. Mr. White, thank you for coming. I find that the complaints about the elevators are directly related to where your office is located. Me being on the first floor, I think they work just fine. [Laughter.]

Senator MACK. Are you sure?

Senator BURNS. Yeah. I never use them. [Laughter.]

We are down here in this high-rent, low-crime area.

Senator REID. That's where you belong. [Laughter.]

MANDATORY PAY INCREASES

Senator BURNS. Your mandatory items totaled \$6 million here. This category includes cost-of-living pay increases, personnel benefits, and premium pay items of existing positions within grade, salary advance, and changes by law. And you also are looking for guidance.

But now on some of this, when you start talking about the locality-based pay, is that compliance with Davis-Bacon?

Mr. WHITE. No; that's a separate provision, not compliance with Davis-Bacon.

Senator BURNS. The first year I was here I had a lady come in here from Montana, and she said, "What in the world does it cost us to maintain these old gaudy buildings?" They were changing over from tulips to something else out here, and I don't know what else was going on, but I said, "Well, we could make this place look like the Lower East Side of New York, if you want it that way, but it's a point of our national pride here. I don't think you would be very happy with it, but if you want it to look like the Lower East Side, we could make it look like that." It would just decimate this budget.

Your increase this year is pretty hard to accept at this time without some real examination. I think this committee is going to have to do some examination and work with you where we can cut some corners because this increase here is substantial when you take a look at what the rest of the legislative budget is going to look like at the final bell.

DEFERRAL OF REQUESTED PROJECTS

Mr. WHITE. I agree with you, and that's why we put priorities on them. There are a number of these things that can be postponed. That doesn't mean that they won't have to be done sooner or later, but they can certainly be postponed.

Senator BURNS. I have some people around here, but if you allow me some day, we would like to sit down and go over some of those areas where we can deal with and bring back into some degree of—I don't want to say sanity, but that's not the right word—where we

can accomplish what we have to accomplish because this is a terrific job.

Mr. WHITE. I would be glad to do that. If we could do that in the Bob Marshall Wilderness, that would be fine.

Senator BURNS. They have all the elitists, and they won't let you and me in there. They are complaining about taking horses in there because of the droppings. But that's OK.

I thank you, and if we could have the opportunity to sit down—

Mr. WHITE. Any time you're ready, I will be happy to do so.

Senator REID. Thank you, sir.

Senator BURNS. I have to excuse myself. I have other business.

Senator REID. I stated yesterday, and I state here today that I'm glad to have you guys here.

Mr. White, we have a lot of questions, or I have a lot of questions that I need to ask you, but I have to be on the Senate floor by noon today. We will submit those in writing in addition to the ones Senator Mikulski wants to ask you.

TRANSFER OF THE BOTANIC GARDEN

But I do want to ask about the Botanic Garden. Do you think that we could transfer functions to the National Arboretum, and would it help anything if we did that?

Mr. WHITE. Well, it wouldn't save the taxpayer any money, because it would shift the funds into someone else's budget, but it certainly wouldn't save any money. That's a function that goes back to 1840.

Senator REID. I understand that.

Mr. WHITE. It's been around a long time. It has millions of visitors every year, and we have a brand new facility that we are about to occupy in the next month or two that's constructed on 25 acres of land.

Senator REID. Say that again.

Mr. WHITE. We have a brand new nursery facility with 25 acres of land that was given and constructed on by Metro to replace the land and facilities that we had where Metro wanted to put the Anacostia Metro station. We were in the way, and so they have replaced all of that. It was about a \$15 million investment that they have made.

Senator REID. Where is that?

Mr. WHITE. In D.C. Village, which is across the freeway from Bolling Air Force Base.

Senator REID. Who pays for that?

Mr. WHITE. That was paid for by Metro, and it came out of the national highway fund.

Senator REID. Who keeps it up?

Mr. WHITE. It's ours to keep up.

Senator REID. Was it out that far?

Mr. WHITE. Yes.

Senator REID. I was reading in the paper about a rain forest. That isn't it, is it?

Mr. WHITE. No.

Senator REID. That's up at the zoo?

Mr. WHITE. Yes; that's up at the zoo. We are not that far away. It's a brand new state-of-the-art facility that's fantastic. I think it would be useful sometime if you want to visit it.

Senator REID. I would like to do that sometime.

LOC DAY CARE FACILITY STATUS

Last question: Give us a status report on the former Saint Cecilia's.

Mr. WHITE. Yes; that's now in its final stages of construction. There were some delays associated with some agreements that had to be worked out with the neighborhood with respect to the fence and a play yard, et cetera. We have asked for a reprogramming of some funds for completion of it, and we have included another \$500,000 in the budget base for finalizing the present needs.

There will be another request when the Library finally decides what they want to do with the rest of the building, but this request is for the day care center. We had a lot of asbestos removal, lead paint removal, and that sort of thing that was not anticipated, which is why it has cost so much more.

Senator REID. It was not anticipated?

Mr. WHITE. It was not anticipated.

ADDITIONAL COMMITTEE QUESTIONS

Senator REID. Thank you. We will be submitting some questions to be answered for the record.

[The following questions were not asked at the hearing, but were submitted to the Department for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

GENERAL BUDGET

Question. Mr. White, you are requesting a total of almost \$212.4 million. This is about \$48 million, or 29.3 percent, over the amount available over the current fiscal year. This is the largest single increase in percentage terms proposed by any of the agencies in the Legislative Branch. I frankly think you will be lucky if we are able to provide anywhere close to a nominal freeze next year. You are safe to assume, at a minimum, that there will be no increases except for those funded out of your budget base.

COMMITTEE FUNDING RESOLUTION

The committee funding resolution reported by the Rules Committee (S. Res. 71) reduces overall funding for committees in the Senate on a net basis by 6.4 percent below the levels provided in fiscal 1993.

How would you manage the Office of the Architect with a comparable reduction?

Answer. A 6.4 percent reduction below fiscal year 1993 funding levels for all AOC appropriations would require a reduction totalling approximately \$10,677,000, resulting in an appropriation level of \$153,575,000. This revised appropriation level would be \$58,800,000 below the requested level of \$212,375,000 for all appropriations.

Viewed in terms of our fiscal year 1993 budget base, after fiscal year 1993 non-recurring reductions totalling \$12,505,000 are reduced from the 1993 appropriation of \$164,252,000, the 6.5 percent reduction totalling \$10,677,000 would permit an increase of \$1,828,000. This amount is far less than our non-discretionary increases, which total \$14,484,000. In other words, in order to function within a total allowance of \$153,575,000, we would have to cut or absorb \$12,656,000 of programs and staff from fiscal year 1993 levels to fund the non-discretionary programs at the requested level and operate at a 6.4 percent reduced level.

PRIORITIZATION

Question. The Committee directed the Architect of the Capitol to provide strategic planning in the budget process to distinguish between critical priorities and activities that may be desirable but are not indispensable. The Committee took exception to your prioritization last year, when you put a disproportionate share of your request in the "critical" or "highly desirable" categories.

How have you changed your prioritization scheme from last year?

Answer. The fiscal year 1994 budget request for the Architect of the Capitol has been prioritized as directed by the House and Senate Committees on Appropriations. The requested items have been identified by four priority levels: "Non-discretionary", "Critical", "Highly desirable," and "Desirable." The "Non-discretionary" category was developed to respond to the Committee's exception to the priority levels developed last year. Non-discretionary items include those costs that the Architect is required, either by law or contractual obligation, to provide funding for. The balance of the budget request has been distributed between the other three levels of priority.

The Committee should be aware that the budget presented to the Congress has already undergone an internal budget review. I have already determined that certain increases and programs are even lower in priority than those included in the request. Thus, there is in effect a five-level priority system, of which we present to the Committees only the four highest categories.

Non-discretionary.—Costs that include those items for which expenditures are non-discretionary, e.g., mandated cost-of-living adjustments, personnel benefits, rate increases in electrical energy, contractual increases, etc.

Critical.—Costs essential for the following programs: to assure the ongoing care, maintenance and operation of the Capitol Complex; to assure the structural integrity of the Capitol Complex infrastructure and buildings; to assure that programs with Congressional leadership direction are carried out; and to assure that programs essential for security, fire and life safety, and environmental and hazardous materials protection are provided.

Highly desirable.—Costs for highly desirable enhancements to the programs outlined in the "Critical" priority level, as well as new program initiatives that would improve the delivery of services.

Desirable.—Costs for programs that are desirable to implement, but that could be deferred temporarily without interruption to current services.

Following each appropriation's detailed "Justification" text, "Objectives" statement, "Items Under Which No Changes Occur" table, and Schedules A, B, and C, is a "Schedule P" which details all of the increases within the four priority levels. These increases are not necessarily listed in priority order within the designations of "non-discretionary", "critical", "highly desirable" and "desirable". In other words, no priority has been established among the items that constitute each priority designation.

Question. What are your highest priorities?

Answer. The highest priorities are, of course, providing for those costs that provide essential services to the Congress. Included among these are the Non-discretionary cost of \$14,484,000 and the Critical costs of \$29,893,000. These figures should be counted as a guideline towards estimating our highest priorities for fiscal year 1994. As stated during the hearing, as time passes some of the priorities have changed. As an example, the request in the "Library of Congress Buildings and Grounds, Structural and Mechanical Care" for \$750,000 to replace the LOC's computer system uninterruptible power supply system may be withdrawn. The Librarian has informed this office that they have procured a different computer that can operate off of the existing system.

Question. How can three new positions be considered "non-discretionary?"

Answer. The three positions referred to are being transferred from the Office of the Clerk, U.S. House of Representatives, to the pay rolls of the Architect, "House Office Buildings," effective October 1, 1993, at the beginning of fiscal year 1994. Therefore, establishing three new positions for these activities is considered to be non-discretionary, as the decision has already been made to effect the transfer.

PRIORITY PROJECTS

Question. Obviously, there is little, if any, room for increases in the present budget environment. But I would like to get your views on the importance of the new items vis a vis the activities this year in your budget base. The real question is whether some of the increases you propose should be funded, despite reductions in your budget base.

So let's go through your principal appropriation accounts and discuss the major increases.

SENATE OFFICE BUILDINGS

Question. You are requesting \$52.8 million for the operations of the Senate Office Buildings. Your request includes the following major increases: \$1.4 million to modernize passenger elevators in the Russell Building, \$5 million for the relocation of Senate Library and \$1.6 million for the lease of Postal Square.

Which of these are important enough to fund out of your budget base?

Answer. The \$1.6 million for leasing costs at Postal Square is a non-discretionary increase based on the leasing arrangements the Architect has entered into on behalf of the Senate Sergeant at Arms. The \$1.4 million for the Russell elevators is considered to be critical as it is necessary to provide safe, continuing and efficient elevator service to Senators, Committees and visitors in the building. The \$5 million for relocating the Senate Library is considered to be Highly Desirable, that is, it is not essential in terms of building safety, but highly desirable for the Library's continued effective service to the Senate.

Question. If so, where?

Answer. If any of these projects had to be funded out of the existing "Senate Office Buildings" funding base, then the Senate would have to accept service delivery cuts and changes in the way services are provided. For example, if the funding for the Postal Square leasing costs had to be absorbed at the expense of Senate Office Buildings staff, the \$1.6 million would equate to 40 jobs, or 7 percent of the staffing that provide services to the Senate, that would have to be cut.

The other possibility in terms of funding some of these increases within the budget base would be to defer ongoing projects such as the renovations to Committee hearing rooms, funded at \$1,284,000 in the budget base.

CAPITOL POWER PLANT

EAST PLANT CHILLER

Question. You are requesting \$36.5 million for the operations of the Capitol Power Plant, an increase of \$4.4 million. The largest increase within that request is \$1.8 million for the East Plant chiller conversion from ozone depleting R-12 freon to a more environmentally responsible material.

How urgent is this improvement?

Answer. The most urgent reason to begin the conversion process is that R-12 will not be manufactured after 1995. There are supplies of R-12 currently available in the industry but the cost is rapidly increasing.

Question. How would you finance it within your 1993 base of \$32.1 million?

Answer. If savings can be realized from other projects at the Capitol Power Plant, we would propose to purchase additional refrigerant to be available in the future.

ELECTRICITY BILL

Question. Your request includes \$23.3 million, an increase of about \$2 million for "purchase of electrical energy" from PEPCO.

Why are you anticipating a 10 percent increase?

Answer. In fiscal year 1992, a total of 325 million kilowatt hours (KWH) were purchased from PEPCO at a cost of \$18,114,000.

Projections for fiscal year 1993 indicate that an estimated total of 363 million KWH will be required at an estimated cost of \$21,290,000. An increase to cover this cost was requested and appropriated in fiscal year 1993.

Projections for fiscal year 1994 indicate that a minimum of 358 million KWH will be required at an estimated cost of \$23,258,000, which is \$1,968,000 over the present appropriated allotment. The estimate is based on the following factors.

Consumption of electrical energy in the Capitol complex has been projected to increase at 3 percent per year based on past experience.

PEPCO was granted a rate increase which went into effect July 1992. The rate increase was estimated for the fiscal year 1993 budget request, and has been factored as full year costs in the fiscal year 1994 projections. Projected rate increases for fiscal year 1993 and 1994 have been included in the 1994 projection.

Fuel adjustment charges have also been fluctuating widely over the past several years. A factor of 3 percent increase has been projected into fiscal year 1994.

Also included are increases due to projections for the new Botanic Garden facility at D.C. Village and for chilled water production at the power plant for the Federal Judiciary Building for fiscal year 1994.

The final factor that has been added to the fiscal year 1994 projections has been an estimated PEPCO rate increase. This last factor is based on probable PEPCO rate increase requests which must be approved by the Public Service Commission (PSC). Due to the past favorable actions by the PSC toward PEPCO, it seems likely that at the very least PEPCO may be granted a portion of the rate increase. Since most rate increase requests take months to effect, a rate increase of 5 percent has been projected for only two quarters of fiscal year 1993 and three quarters of fiscal year 1994.

If any of these factors should change, the Committees will be notified.

Question. Do you have any ideas about how the Congress might control their costs aside from the pilot on energy efficient lighting?

Answer. The most positive way to reduce energy consumption is to turn off anything that is not absolutely essential at the moment. The following is a list of suggestions:

- Reduce night-time use of buildings.
- Use occupancy sensors to control lights.
- Appeal to personnel to exercise energy saving procedures.
- Continue to fund conversion of equipment to state-of-the-art energy efficient equipment.

LIBRARY BUILDINGS AND GROUNDS

Question. You are requesting \$22 million for the Library Buildings and Grounds. The two major increases here are \$7 million for roof replacement for the Jefferson Building and \$1 million to retrofit energy efficient lighting.

How urgent is the roof replacement?

Answer. The potential for water damage to the recently decorative ceilings and walls increases as time passes. Heavy rains and snow experienced during the winter of 1992/1993 have led to leakage in several areas that have already been renovated or are under renovation at this time. Additionally, rain is penetrating into areas such as the Coolidge Auditorium that have not yet been renovated. Until the roof is replaced over these areas, the cost of renovation is a poor investment.

According to the design consultant that has surveyed the roof, the copper roofing is in an advanced stage of deterioration. The patching material that was used three years ago as a temporary relief measure has only a five year life expectancy. Additional patching efforts can be undertaken, but the condition of the copper will continue to deteriorate.

Question. What is the estimated payback period for the energy efficient lighting retrofit?

Answer. Under the pilot retrofit program, space in the JAMB was equipped with energy efficient lighting. Based on the measurements taken before and after the retrofit, the payback period for these areas is 2.3 years, taking into consideration the cost of the installation effort and the rebate program and savings due to the reduced energy demand.

POSTAL SQUARE

Question. You are requesting \$7.5 million to lease approximately 150,000 square feet of space in the Postal Square facility.

Would it be feasible to reduce the amount of leased space to, let's say, 75,000 square feet?

Answer. It would be extremely difficult and expensive to find comparable space and relocate Senate Sergeant at Arms personnel that currently occupy Postal Square. Those Senate activities housed in Postal Square are the following: Computer Center, Cabinet Shop, Printing Shop, Photo Laboratory, and Micrographic Shop.

Question. The request includes an increase for lease costs as well as Above Standard Construction costs. What are Above Standard Costs? How much of the total is for Above Standard Construction costs?

Answer. For fiscal year 1994, a total amount of \$7,550,000 is requested, an increase of \$1,550,000 over the amount already in the budget base. The request is based on presently known cost factors, which include the base lease cost increases, in an amount of \$900,000, as well as the amortization of the GSA Above Standard Building Costs, in an amount of \$650,000, required by the leasing arrangement between GSA and the Architect of the Capitol. Approval to request funds in the fiscal year 1994 budget for this project was provided by the Senate Committee on Rules and Administration on January 7, 1993.

The Above Standard Costs are those items that were not included in the original renovation contract that were required to accommodate the special needs of the occupants. The AOC is working with GSA to finalize the cost of the items.

Future increases in lease costs are anticipated to be in accordance with GSA's standard Federal Property Management Regulations.

The above standard costs defined by GSA to accommodate the tenants' special and unique needs not considered typical office building construction at Postal Square include: Special and additional wiring, special air conditioning, special uninterruptible power systems (UPS), special plumbing, and special training space needs.

ENERGY EFFICIENT LIGHTING PROGRAM

Question. The Committee provided \$1 million in fiscal year 1992 and fiscal year 1993 for a pilot project to assess the costs and benefits of Energy Efficient Lighting in the Capitol complex. This year you are requesting a total of \$4 million to expand this program.

What is the status of the Energy Efficient Lighting Pilot Program in the Senate?

Answer. The Pilot Program in the Senate is complete and the economic analysis based upon data collected is currently being evaluated.

The Pilot Programs that were conducted in the Senate include: P1—RSOB 159; P2—RSOB 224; P3—HSOB 311; P4—DSOB 401; P4a—DSOB 301; P5—HSOB 522; and P16—Underground Corridors, RSOB to DSOB.

Initial results have been very promising, especially with respect to the 24-hour lighting areas such as garages, corridors, toilet rooms, etc. The few occupant complaints that have been received have been accommodated on an as needed basis. Generally, however, occupants have been delighted with the program's results.

Question. Since you have not completed the pilot what basis have you for a request to expand the energy efficient lighting effort?

Answer. Extensive experience with comparable installations as reported in the engineering literature give us confidence that we will achieve similar savings with the lighting fixtures currently installed in Senate buildings. Preliminary results from the Pilot program indicate that favorable payback periods may be achieved in certain areas, such as 24-hour lighting in corridors, garages, toilet rooms, etc. In addition, pilot results in other frequently used areas indicate that energy savings accrue.

Question. Does your analysis to date support conversion of any existing lighting systems in the Senate?

Answer. Our preliminary analysis indicates comparable savings as those in similar installations. As stated before, particularly in areas where lighting must be left on 24 hours a day, energy savings accrue quickly. The sooner we are authorized to proceed with the retrofit program in these areas, the more savings will accrue. In other areas, energy savings accrual depends on the type of existing lighting fixtures and the use of the area. The pilot program will clarify these situations when it is completed, and provide estimated program costs and payback periods.

PRINTING COSTS

Question. The language in the Congressional Printing and Binding Appropriation for the Government Printing Office includes the costs of printing for your office to be charged to this appropriation.

Why should the costs of your printing be charged against this appropriation?

Answer. Language authorizing the Government Printing Office to cover the costs of AOC printing is carried in Title I of the annual appropriations bill under "Government Printing Office, Congressional Printing and Binding."

Question. What is your estimate of the funding required to cover your printing and binding costs?

Answer. In fiscal year 1992, the GPO costs for AOC printing and binding were approximately \$159,696.

BOTANIC GARDEN

Question. Last year the committee provided \$2 million for the design and preparation of construction documents for the structural repair of the Botanic Garden conservatory. You are requesting \$7 million for the initial contracting phase of this project and total project cost is estimated at \$23.3 million.

It is unlikely that we will be able to provide the \$7 million this year and perhaps for the foreseeable future given the budget problems we face.

Why not face facts and close the Botanic Garden and transfer its function to say, the National Arboretum?

Answer. It is uncertain if the Arboretum or any other facility would be able to house and maintain the extensive and unique collections.

Question. How much could we save by doing so?

Answer. If the collections, staffing and related support activities (i.e., costs for pots, soil, etc.) were transferred and the existing facilities were shut down, minimal savings would result. Among these savings would be Penalty Mail (\$2,300), Electrical Energy (from the Capitol Power Plant appropriation) (\$750,000), Miscellaneous Improvements (\$20,000), etc.

Question. Do you have any idea for alternative uses for the buildings now housing the Botanic Garden?

Answer. The Conservatory was specifically built to house and display plant collections. No alternate use could be made of that facility without considerable expense. Likewise, the new Growing Facility was designed specifically to support the Botanic Garden's main focus as an educational horticultural institution.

LIBRARY OF CONGRESS PROJECTS

THOMAS JEFFERSON RENOVATION

Question. In fiscal year 1984 the Congress provided over \$81 million for a restoration and renovation project for the Thomas Jefferson and John Adams Buildings of the Library of Congress. We understand that this project is some 40 months behind schedule and that an additional \$3.2 million will be needed to complete it.

What is the status of the project?

Answer. As of the latest contract completion date update, the work in the LOC R&R project is scheduled to be completed by the end of May, 1994.

This is the same completion date as reported last year.

The schedule and funding data follow.

LIBRARY OF CONGRESS RENOVATION

[Update of Milestone Schedule—January 31, 1993]

Milestone/description	Original start	Revised start	Original finish	Revised finish
I—Phase I—Interim occupancy (including alterations to fourth floor—JAB)	11/84	¹ 9/84	6/85	¹ 11/86
II—Phase II—Construction	6/85	¹ 9/86	10/87	¹ 12/89
III—Phase II—Interim occupancy	10/87	¹ 10/89	6/88	¹ 1/92
IV—Phase II—Construction	6/88	¹ 1/92	11/90	² 5/94

¹ Actual.

² Projected date based on current available information.

LIBRARY OF CONGRESS RENOVATION SUMMARY OF PROJECT FUNDING

[As of January 31, 1993]

	Original allotment	Current allotment	Obligations	Unobligated balance
Administrative	\$3,364,000	\$9,347,050	\$8,015,583	\$1,331,467
Consulting	3,800,000	2,498,977	2,380,872	118,105
Milestone I—Phase I interim occupancy ...	2,140,359	1,994,057	1,994,057
Miscellaneous and activities by in-house ...	55,773	1,476,993	1,371,680	105,313
AP/MPFP/E—Phase I	19,365,000	21,094,130	21,094,130
A/C modernization—Phase I and II	6,809,000	6,809,000	6,661,875	147,125
Colonnades—Phase I and II	6,751,000	6,292,000	6,118,696	173,304
Specialty paint—Phase I	824,000	622,216	622,216
Renovate exterior windows—Phase I	658,000	753,154	753,154
Interior storm windows—JAB—Phase I and II	162,495	162,495	162,495
Replicate and rehabilitate light fixtures—Phase I	1,500,000	441,613	441,613
Art restoration—Phase I and II	1,245,000	1,995,000	1,987,013	7,987
Milestone III—Phase II interim occupancy	1,129,000	728,878	379,180	349,698

LIBRARY OF CONGRESS RENOVATION SUMMARY OF PROJECT FUNDING—Continued

(As of January 31, 1993)

	Original allotment	Current allotment	Obligations	Unobligated balance
Milestone IV—Phase II construction	25,532,000	24,359,001	21,293,270	3,065,731
Redesigned forecourts		1,895,000	1,845,026	49,974
Government furnished equipment		222,931	195,467	27,464
Phase I—Tenant accommodations		200,000	170,876	29,124
Balance	7,664,373	107,505		107,505
Total	81,000,000	81,000,000	75,487,203	5,512,797

Question. Why has the schedule slipped so much?

Answer. There are several reasons that delays have occurred; some of which may provide guidance for completing the remainder of this project in a more timely manner and some which may also lend guidance for any projects of this nature that may be undertaken in the future.

The major items contributing to the delays have been outlined in the past, but for the record are enumerated herein, the more significant and obvious factors being:

1. Maintaining each building in a half-open status for use by the public and occupancy by Library staff.

2. Necessity to perform asbestos abatement throughout both buildings that was not originally anticipated and that must be accomplished while portions of the buildings are in use.

3. Logistical problems dealing with arrangements for interim moves and related occupancy activities.

4. Numerous changes to contracts necessitated by unforeseen job conditions; that is a circumstance that is typically inherent in the restoration of older buildings—especially the Thomas Jefferson Building which is nearly 100 years old.

5. Noises, odors and other distractions that are common to the construction industry, but nonetheless, unique to patrons and staff of the Library, and that result in postponement of activities.

6. Phased work with multi-disciplined Contractors attempting to coordinate their work activities within the same areas of the structures.

In order to move the project toward completion and make every attempt to adhere to the most recently established end date of May 1994, we have either implemented or propose to implement certain actions which will enhance the possibility of being successful in our endeavor. With the implementation of these plans, significant progress should be made toward achieving this new goal and thus avoid any further excessive delays. A description of these actions follows:

1. Given the situation of each building being in a half-open status, there must be an understanding by all parties—the Library, the Public, the Contractors and we as Managers of the project—of the need to recognize each others' interests, yet share the mutual goal of achieving a completion as expeditiously as possible. This may mean being somewhat tolerant of noises, odors, inconveniences and other activities which lend themselves to the accomplishment of the combination of construction activities and the operation of a Library.

2. Asbestos has been recognized as a significant problem in construction performed thus far and has been identified in various locations of remaining areas of the project. To avert serious delays or interruptions to Contractor's construction activities, funds have been set aside in the project budget to specifically identify and remedy asbestos related conditions which could possibly interfere with project progress. This work is being performed by in-house forces and has provided a head start status to have asbestos abatement performed before Contractors enter an area for construction purposes. Additionally, the major contract for Phase II contains an established allowance for situations requiring involvement by Contractors with respect to asbestos abatement activities.

3. To speed up completion of remaining activities to accommodate interim occupancy moves, certain work was assigned to the Architect of the Capitol's Construction Branch which can devote resources directly to construction activities, thus freeing-up the Supervising Engineer's human resources for maintenance and repair activities.

4. It is anticipated that unforeseen job conditions and resulting changes will be kept to a minimum in contrast to what occurred during Phase I. To the extent applicable, the Phase I changes have been incorporated into the Phase II construction documents and the number of changes/extras should be substantially reduced. There will, of course, be certain conditions that are unique to Phase II areas of the buildings which will involve changes. As indicated elsewhere in this response, the structure is old and there are intangibles that will be encountered.

5. The most recent construction contract awarded encompasses the majority of remaining construction associated with the renovation program. All remaining work which includes architectural, mechanical, electrical, fire protection—but excludes air conditioning modernization which is being performed under separate contract and which is limited to mechanical equipment rooms—and also includes Office Colonnade and Office Colonnade Forecourts, is now under the control of the same Contractor. This will permit the Contractor to exercise more control for coordination and interfacing among his contracts. This will also permit us, as the Construction Managers, to more effectively allocate our human resources for the purpose of controlling, directing and responding to the Contractor. Additionally, we are positioned to utilize management tools and techniques such as CPM scheduling and reporting facilities to monitor and modify progress as necessary.

Open buildings, asbestos, logistical problems, changes, noises, odors and other distractions and inconveniences notwithstanding, efforts will continue to be directed toward assuring that the recently established date of May 1994, remains the primary target for completion of the Renovation and Restoration of the Jefferson and Adams Library of Congress Buildings.

COST OVERRUNS

Question. Your letter of February 2 states that the \$3.2 million increase in the cost to complete is the net of \$14.7 million in cost increases offset by \$11.5 million in "decreases and savings in other items". You also state that this overrun results from absorption of items outside the original scope of work and from increases in the scope and sophistication of other project items.

What are the items outside the original scope of work and how much did they add to the cost? What enhancements to the scope and sophistication of project items are involved?

Answer. The following material, a copy of a letter to the Honorable Harry Reid, Chairman, Subcommittee on Legislative Branch Appropriations, was provided for the Record.

LETTER FROM GEORGE M. WHITE

FEBRUARY 2, 1993.

Honorable HARRY REID,

Chairman, Subcommittee on Legislative Branch Appropriations, Committee on Appropriations, United States Senate, Washington, DC.

DEAR MR. CHAIRMAN: A recent detailed financial analysis of the Library of Congress Renovation and Restoration project has indicated an anticipated funding deficiency of approximately \$3.2 million. This amount has been conservatively estimated and is deemed to be the maximum that will be needed. We hope to be able to reduce the need as much as possible, but we believe that it would be unrealistic to present a smaller number at this time.

As is noted in the attached documentation, some of the funding deficiency results from absorption of the cost of certain project items that were outside the original scope of work. Some of the costs have increased as a result of expansion of the scope and sophistication of individual items, such as, for example, the expanded and enhanced security program.

It should also be noted that of the \$14.725 million in increases on various items (over the original budget), we have absorbed \$11.525 million through decreases and savings in other items.

It is, perhaps, useful to note, that the original cost estimate of \$81 million, upon which the funding was based, was prepared in 1983. The 4 percent increase now needed to complete the project is deemed to be minimal. It is a remarkable achievement for a restoration project of this magnitude and complexity that has been conducted over a ten year period of changing needs and inflation. We have, as you know, exerted our best efforts over the entire ten year period to keep costs within the original funding limit. We believe that we have been substantially successful in doing so, particularly in light of modifications to the program.

In recognition of existing financial constraints, however, we have included in the attached documentation, particularly the appendix, a number of options which indi-

cate possible items for postponement or elimination in order to achieve completion of the project within the \$81 million. The recommended Option C scheme, which is based on completion of the project within the existing funding level, has been approved by the Librarian.

Funding of the requested amount, of course, would be the least expensive option since funds will have to be appropriated in the future to accomplish the required goals. We shall proceed of course, as best we can if it is deemed necessary to do so. I shall be pleased, as always, to provide further information if it is so desired.

A similar letter has been sent to the Honorable Vic Fazio, Chairman, Subcommittee on Legislative Branch Appropriations, Committee on Appropriations, U.S. House of Representatives.

Cordially,

GEORGE M. WHITE, FAIA,
Architect of the Capitol.

EXHIBIT A.—RENOVATION AND RESTORATION OF THE LIBRARY OF CONGRESS PROJECT FUNDING SUMMARY—ORIGINAL VS PROJECTED

[Thomas Jefferson Building and John Adams Building]

Phase/discipline	Allotment		Allotment	
	Original	Current as of July 31, 1992	Projected through comple- tion (May 1994)	Variance through completion (May 1994)
Phase I:				
First interim occupancy	\$1,638,000	\$1,994,058	\$1,994,058	(\$356,058)
Arch/elec/mech	24,052,000	23,362,494	¹ 23,300,666	751,334
Colonnades	3,852,000	6,392,000	6,292,000	(2,440,000)
A.C. modernization	6,102,000	6,809,000	6,809,000	(707,000)
Exterior windows	1,405,000	915,649	915,649	489,351
Specialty painting	306,000	622,216	622,216	(316,216)
Art restoration	1,245,000	1,995,000	² 2,095,000	(850,000)
CATV/security	854,000	1,532,000	³ 2,532,000	(1,678,000)
Phase II:				
Second interim occupancy	1,129,000	1,028,878	728,878	400,122
Arch/elec/mech	29,985,000	23,327,001	⁴ 24,562,000	5,423,000
Redesigned colonnade forecourts	NA	1,945,000	⁵ 1,895,000	(1,895,000)
A.C. modernization	(⁶)	(⁶)
Colonnades	(⁶)	(⁶)
Art restoration	(⁶)	(⁶)
CATV/security	(⁶)	(⁶)
Administration	3,364,000	7,661,800	9,347,051	(5,983,051)
Consulting services	3,800,000	2,507,399	⁷ 2,498,976	1,301,024
Unallotted contingency	3,268,000	907,505	107,505	3,160,495
Third interim, occupancy/tenant accommod	NA	NA	⁸ 500,000	(500,000)
Totals	81,000,000	81,000,000	84,199,999	(3,199,999)

EXHIBIT A.—RENOVATION AND RESTORATION OF THE LIBRARY OF CONGRESS PROJECT FUNDING SUMMARY—ORIGINAL VS PROJECTED—Continued

(Thomas Jefferson Building and John Adams Building)

Phase/discipline	Allotment		Allotment	
	Original	Current as of July 31, 1992	Projected through comple- tion (May 1994)	Variance through completion (May 1994)
Variance summary	(+ 11,525,326) (14,725,325)
Net	(3,199,999)

¹ Includes items that are outside the intent of the scope of the original renovation and restoration program, i.e., replace exhaust fans (JAB)—\$30,000; replace air conditioning equipment (TJB)—\$250,000; bookstack elevator car doors (JAB)—\$250,000.

² Includes \$100,000 to accomplish Winters' Murals in Fifth Floor (North and South) Reading Rooms, John Adams Building. The Architect of the Capitol has reserved the right to have this work accomplished during the term of the contract at previously agreed price. Actual work has been deferred in order to have more significant work in the Thomas Jefferson Building accomplished at the present time.

³ The figure of \$2,532,000 includes an estimated \$1,000,000 for completion of the physical system in Phase II but does not include \$354,947 for rough-in which was accomplished under Phase I AP/F/MPFP Contract; \$73,000 and \$120,000 for system design by Vitro Corporation and Mr. Doug Knowles, respectively; and an estimated \$250,000 for rough-in being accomplished under Phase II AP/E/MPFP Contract. Collectively these total \$3,329,947.

⁴ Includes estimate/allowance for the following:

Sprinklers—Rare Book Stack—TJB	\$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000
Coolidge Auditorium—Whittall Pavilion, TJB (General Allowance)	300,000
General Contingency	500,000

⁵ Does not include \$129,000 for design fees by Arthur Cotton Moore which is included in "Consulting Services."

⁶ See phase I.

⁷ Includes \$129,000 for design fees for redesigned office colonnade forecourts—by Arthur Cotton Moore; \$73,000 and \$120,000 for security system design by Vitro Corporation and Mr. Douglas Knowles, respectively.

⁸ Based upon the first and second interim occupancy, it is anticipated that it will be necessary to provide certain tenant accommodations or modifications when phase II is completed. The \$500,000 is an allowance for such activities.

APPENDIX OF NOTES AND OPTIONS TO LIBRARY OF CONGRESS RENOVATION AND RESTORATION FUNDING STATUS

FEBRUARY 2, 1993.

Throughout the term of the project, the values of various disciplines of work will have resulted in surplus and deficit variances. The surplus variances (projected to be +\$11,575,326) will be exceeded by deficit variances (projected to be -\$14,725,325) by the amount of -\$3,199,999; an unfunded differential. (Refer to Exhibit "A")

The existing project funding has or will have absorbed various costs for activities which could normally be considered part of an undertaking such as the Renovation and Restoration Program even though some may not have been specifically included in the original Scope of Work. These include design/construction changes, costs associated with extended overhead/administrative necessary to complete the project, absorption of costs and cost differentials for unplanned and planned activities.

Clearly, in addition, there are items that have been absorbed to this point which exceed the original concept of the Renovation and Restoration Program thus reducing funds available to complete "Scope of Work Activities." The more significant of these include such items as:

Description	Amount
Items identified outside the Scope of Work	\$530,000
Miscellaneous items outside Scope of Work (estimated)	100,000
Enhanced and expanded security systems	1,475,947
Redesigned Office Colonnade Forecourts (costs vs. savings—dif- ferential)	196,750
Total	2,302,697

Based upon known and projected information, completion of the project to the fullest extent possible will result in an unfunded differential in the amount of -\$3,199,999. This leaves various items of work to be considered for which there are

no funds available (unfunded differential). These considerations include the following items:

Unfunded Differential Summary

<i>Description</i>	<i>Estimated Amount</i>
Sprinklers—Rare Book Stacks—TJB	¹ \$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	¹ 30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	² 420,000
Coolidge Auditorium—Whittall Pavilion, TJB	³ 300,000
General Contingency	⁴ 500,000
Third Interim Occupancy/Tenant Accommodations	⁵ 500,000
Completion of Security Systems—Phase II	⁶ 1,000,000
Winter's Murals—Fifth Floor, JAB	⁷ 100,000
Total	3,200,000

¹ Fire protection systems in these areas originally were planned to be Halon. However, Halon is being phased out by Executive Order which is being enforced by the Environmental Protection Agency. Fire protection systems for these areas will be quick response "wet" type.

² Five small A/C units originally removed from the Scope of Work at request of the Library of Congress due to need for space to house staff. Space(s) are now available but the systems have deteriorated to such extent that extensive asbestos abatement and other work will also be required. All work is included in the stated cost estimate.

³ This amount of \$300,000 is in addition to the \$1,263,000 available in original funding and \$593,000 which Mr. James R. Trew, Director, Integrated Support Services, has indicated the Library of Congress may fund for Auditorium and Stage Equipment. Total estimated cost for the Coolidge Auditorium—Whittall Pavilion is \$2,156,000.

⁴ Deemed necessary to cover unforeseen items that may be encountered and to offset assessment of potential per diem liquidated damages as provided by contract(s).

⁵ Considered necessary to provide custom tenant accommodations and interim occupancy upon completion of Phase II areas and to make adjustments to Phase I areas when various temporary occupants move.

⁶ To complete installation of physical system in Phase II areas. Will include hardware, devices, equipment, etc., to make system operational and functional. Phase II rough-in is being performed under the major Phase II AP/E/MPFP contract.

⁷ To complete restoration of Winter's Murals, Fifth Floor North and South Reading Rooms, John Adams Building. Restoration of these pieces have been postponed so that more significant works in the Thomas Jefferson Building can be restored.

The Committee on Appropriations has long taken the position that the Renovation and Restoration Program should be completed within the available resources, namely, the \$81,000,000 appropriated in fiscal year 1984. Using that amount as a limit, and in order to bring the project to a satisfactory conclusion, decisions are necessary relating to which elements of construction should be completed and which should be left uncompleted. There are various options available which may be pursued in deciding a satisfactory manner for finalizing the Renovation and Restoration Program. Three options identified as "A", "B" and "C" are demonstrated in the attached sheets utilizing information from the "Unfunded Differential Summary." There are, of course, other possible combinations or options that could be considered.

If additional funding were to be made available, all or any selected portions of the remaining items could be completed (depending upon the amount of additional funding). Any or all of the items selected for completion would be based upon need, amount of available funds, etc.

It is noted that of the original \$81,000,000 appropriation, there is an amount of \$1,263,000 established to be absorbed for the Renovation and Restoration of the Coolidge-Whittall. The most recent estimate by the Architect of the Capitol for a "minimum scope" program for this effort is \$2,051,000, a difference of \$788,000. Of this difference, the Library of Congress may fund Auditorium and Stage Equipment estimated to cost \$593,000 leaving approximately \$195,000 as an unfunded differential; in summary,

Coolidge Auditorium—Whittall Pavilion

Estimate of Cost—"minimum scope"	— \$2,051,000
Tentative Library of Congress Funding	593,000
Total	— 1,458,000
Funding Available	1,263,000
Unfunded Differential	— 195,000

The unfunded differential of \$195,000 is included in the -\$300,000 in the "Unfunded Differential Summary" with the difference intended to offset potential for asbestos abatement and to cover overhead and profit if work is performed by a general contractor. These items are not considered in the "minimum scope" estimate of cost.

OPTION "A"

Option "A" would require that an additional \$3,200,000 be made available. With an additional \$3,200,000 all work items enumerated in the "Unfunded Differential Summary" can be completed. This would consist of the following:

<i>Description</i>	<i>Estimated Amount</i>
Sprinklers—Rare Book Stacks—TJB	\$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000
Coolidge Auditorium—Whittall Pavilion, TJB	¹ 300,000
General Contingency	500,000
Third Interim Occupancy/Tenant Accommodations	500,000
Completion of Security Systems—Phase II	1,000,000
Winter's Murals—Fifth Floor, JAB	100,000
Total	¹3,200,000

¹ Does not include \$593,000 which may be funded by the Library of Congress for auditorium and stage equipment.

OPTION "B"

Option "B" would require that an additional \$2,300,000 be made available. With an additional \$2,300,000 four (4) of the eight (8) work items enumerated in the "Unfunded Differential Summary" can be completed. The remainder, listed in Option "A", would remain unaccomplished. The items to be completed would consist of the following:

<i>Description</i>	<i>Estimated Amount</i>
Coolidge Auditorium—Whittall Pavilion, TJB	¹ \$300,000
General Contingency	500,000
Third Interim Occupancy/Tenant Accommodations	500,000
Completion of Security Systems—Phase II	1,000,000
Total	¹2,300,000

¹ Does not include \$593,000 which may be funded by the Library of Congress for auditorium and stage equipment.

OPTION "C"

Option "C" would not require any additional funding. It would, however, permit the accomplishment of various items from the "Unfunded Differential Summary" by utilizing the \$1,263,000 available for Coolidge-Whittall in the Thomas Jefferson Building which would remain unaccomplished. Items enumerated in the "Unfunded Differential Summary" that could be considered for completion would consist of the following schemes (unlisted items in each scheme would remain unaccomplished):

<i>Description</i>	<i>Estimated Amount</i>
I:	
Sprinklers—Rare Book Stacks—TJB	\$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000
General Contingency	500,000
Total	1,300,000

or

II: ¹	
Sprinklers—Rare Book Stacks—TJB	350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000

Third Interim Occupancy/Tenant Accommodations	500,000
Total	1,300,000

or

III: ¹	
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Completion of Security Systems—Phase II	1,000,000
Winter's Murals—Fifth Floor, JAB	100,000
Total	1,130,000

or

Utilize \$593,000 from Library of Congress appropriations which, together with the \$1,263,000 yields a total of \$1,856,000 available for expenditure as follows:

<i>Description</i>	<i>Estimated Amount</i>
IV (Recommended):	
Sprinklers—Rare Book Stacks—TJB	\$350,000
Sprinklers—Instrument Storage—TJB	30,000
General Contingency ²	250,000
Third Interim Occupancy/Tenant Accommodations ²	250,000
Render Coolidge/Whittall "Usable"	300,000
Highest Priority Security Systems Work ²	500,000
Air Conditioning Work, Decks 37 and 38, TJB ³	176,000
Total	1,856,000

¹ The elimination of the "General Contingency" may result in other items remaining incomplete.

² The General contingency and tenant accommodations items are estimated at \$500,000 each; because these items may not be needed in total, any amounts not needed will be applied to Security Systems work as indicated.

³ The total needed is \$420,000, but this amount will enable some work to be accomplished.

Utilizing any scheme of this Option "C" would effectively exhaust the original funding of \$81,000,000 and would require new funding in the future in order to accomplish remaining items contained in the "Unfunded Differential Summary."

Question. What was the original reserve for contingencies for this project? Why is it not available to fund this additional \$3.2 million?

Answer. The original unallotted contingency amount was \$3,203,000, or less than 4 percent of the project cost. Over the duration of the work, this amount has been used for the many unforeseen conditions and changes in the project's execution.

EARLY OUT AUTHORITY

Question. On February 10, 1993 the President issued an Executive Order to reduce the federal workforce by 100,000 positions by the end of fiscal year 1995 through attrition and early outs.

The President's plan will make use of early out authority to achieve its personnel objective.

Do you think that early out authority would be useful in reducing the size of your workforce without major organizational disruptions?

Answer. I am not sure that early out authority is necessary for the Architect's office. Employees who are eligible for involuntary separation, i.e., 50 years of age and 20 years of service, or regardless of age after 25 years of service could be separated with an immediate, reduced annuity. The reduction in force would be mandated by Congress as a result of the elimination of positions and/or reduced funding levels.

It would be most desirable under such circumstances to be able to offer employees an inducement to volunteer for an "early-out." The inducement could be (1) a bonus or severance pay plan, or (2) an opportunity to accept involuntary retirement without a reduction in annuity for each year below age 55, or (3) allowing employees to accept involuntary retirement with annuity being based on current salary and years of service, as opposed to being based on "high-three" average salary and years of service.

A reduction in our workforce is apt to cause major disruptions in the Architect's organization because of our continuing responsibility for care, maintenance, and operation of the Capitol Complex of buildings and facilities.

REDUCTIONS IN ADMINISTRATIVE EXPENSES

Question. The President recently issued an Executive Order to reduce administrative expenses by 14 percent by 1997. The Joint Leadership of the Congress has endorsed that goal for the Legislative Branch.

How would you define administrative expenses?

Answer. In accordance with OMB Bulletin 93-09, which cites the Executive Order, directs executive agencies to comply with administrative expense reduction via their annual budget submissions. "Administrative expenses" are loosely defined. Guidance from OMB on these costs indicate that Object Class series 20 is used as a base from which dollar amount reductions are estimated.

In the AOC, the Object Class 20 series includes all renovation and construction work, utility and leasing costs, and other non-administrative type expenses. These amounts would have to be reduced to achieve a similar dollar base to that which OMB is using for executive branch agencies.

Question. What steps would you take to cut back on administrative overhead/administrative expenses of the Architect of the Capitol to achieve a 14 percent reduction by 1997?

Answer. In accordance with the OMB guidelines, the reduction is to be achieved as follows, using fiscal year 1993 adjusted for inflation as a base: fiscal year 1994, (-)3 percent; fiscal year 1995, (-)6 percent; fiscal year 1996, (-)9 percent; and fiscal year 1997, (-)14 percent.

BASE REDUCTIONS

Question. What would be the effect of a five, ten and fifteen percent reduction below your current base?

Answer. The following table describes the effect of the proposed cuts.

Fiscal year 1993 Appropriation Level	\$164,252,000
Revised Appropriation Level:	
Less 5 percent (-)8,212,600	156,039,400
Less 10 percent (-)16,425,200	147,826,800
Less 15 percent (-)24,637,800	139,614,200

A five percent across the board reduction to the appropriations under the Architect of the Capitol would restrict service delivery on Capitol Hill.

A ten percent across the board reduction to the appropriations under the Architect of the Capitol would severely restrict service delivery on Capitol Hill and eliminate ongoing cyclical maintenance and improvement programs.

A fifteen percent across the board reduction to the appropriations under the Architect of the Capitol would severely restrict service delivery on Capitol Hill and eliminate all ongoing cyclical maintenance and improvement programs.

Effect of cuts on personnel

Estimated at \$40,000 per position (including benefits), each \$1 million in cuts represents 25 positions.

An \$8 million cut (5 percent of fiscal year 1993 funding level) in personnel represents 200 positions, or 10 percent of the total work force.

AOC staffing has already been cut below 1983 levels, despite adding 1.5 million square feet of office space and over 7 acres of grounds since 1983.

AOC has also been required to respond to new initiatives within existing staffing levels, including: Waste recycling, energy management and control, occupational safety, disposal of hazardous materials, asbestos abatement, Bicentennial Commission, Capitol Historic Preservation Commission, telecommunications, energy efficient lighting, fire protection engineering, information resources management, electronics security, lease management, and American with Disabilities Act

Effects of cuts on services

Reductions would eliminate funding for essential operations activities, such as:

- Essential maintenance and custodial functions, such as floor and restroom cleaning, window washing, painting, maintenance to elevators and escalators, air conditioning systems, grass cutting, and leaf raking;
- In the Capitol Building itself, the Architect would not be able to staff support workers for evening hours when the Congress is in session;
- Senate services, including cleaning Senate suites and public spaces, repairs to building systems, and general maintenance would be greatly curtailed; evening and weekend support would be cut back drastically;
- Critical ongoing preventive maintenance to roofs, windows, exterior stone, and repairs to streets and sidewalks would have to be eliminated or restricted.

Capitol buildings

Funds for contractual leasing costs would be eliminated for Legislative Branch warehouse rental, used by the Clerk, Doorkeeper, and Architect maintenance shops for storage of supplies and materials as well as leasing costs for critical Senate functions (Senate Computer Center) located in Postal Square, and AOC functions proposed to be relocated to the Thurgood Marshall Federal Judiciary Building. Materials and furniture and furnishings would be relocated to hallways, garages and other space in the House office buildings.

Limit painting to touch up repairs only.

Reduce frequency of cleaning cycles in the House side of the Capitol, including Leadership and Committee spaces, public corridors and restrooms.

Reduce essential building system maintenance such as elevators and escalators, air conditioning systems, smoke detection and fire alarm systems and security systems.

Failed systems would remain out of service until funds became available to fix them.

Cut back on the ongoing asbestos removal program.

Reduce rodent and pest control.

Reduce the availability of the supplies and materials needed by the maintenance shops for congressional service calls and repairs.

Capitol Grounds

Reduce funds for contractual costs for solid and bulk waste removal.

—Less frequent trash hauling.

—Trash would accumulate in the buildings and on the grounds until funds became available for removal.

—Unsanitary conditions and pest infestations could develop.

Contractual removal of recycled materials would be reduced.

—Cut the scope of the recycling program.

—Higher landfill fees.

—Accumulation of recyclable materials on the grounds until funds became available for removal.

Maintenance of public sidewalks, streets and street lighting would be reduced.

—Higher incidence of pedestrian accidents leading to Tort claims.

—Traffic control problems.

—Pedestrian safety at night would be reduced.

Senate Office Buildings

Reduce funds for Senate services, including cleaning Senate suites, Committee rooms, and public spaces.

—Frequency of cleaning cycles would be reduced.

—Some cleaning services would be eliminated.

—Increased need for Senate staff assistance in cleaning.

Reduce repairs to building systems.

—Failed systems would remain out of service until funds became available to fix them.

General maintenance would be greatly curtailed.

—Essential building system maintenance such as elevators and escalators, air conditioning systems, smoke detection and fire alarm systems, security systems, and the subway system would be reduced.

—Reduce the availability of the supplies and materials needed by the maintenance shops for congressional service calls and repairs.

Evening and weekend support would be cut back drastically.

—Service calls during evening and weekend sessions would be limited to emergencies.

—Weekend cleaning would be severely cut back or eliminated.

House Office Buildings

Reduce ongoing maintenance efforts:

—Limit painting to spot touch ups.

—Frequency of cleaning cycles in congressional offices and corridors would be reduced.

—Essential building system maintenance such as elevators and escalators, air conditioning systems, smoke detection and fire alarm systems, security systems, and the subway system would be reduced.

—Failed systems would remain out of service until funds became available to fix them.

—Cut back on the ongoing asbestos removal program.

- Reduce rodent and pest control.
- Reduce the availability of the supplies and materials needed by the maintenance shops for congressional service calls and repairs.

Capitol Power Plant

Cut natural gas, electricity, steam and chilled water payments for the Ford Building, and water and sewer payments to the District.

- All are non-discretionary utility costs.
- Water and sewer payments are required by law.
- Electricity reduction would require shutting off lights on weekends and during evening hours in all buildings.
- Cooling provided by electrical chillers would be reduced, resulting in higher room temperatures, working environment discomfort and computer system operating intolerances at higher temperatures.

Reduce funds for the purchase of coal and oil.

- Would lead to an insufficient fuel supply for the heating season.
- Colder room temperatures.
- Exposed or poorly insulated pipes freezing.

Reduce critical repairs and contractual services.

- Contractual disposal of coal ash (EPA hazardous material) would be cancelled.
- Treatment of water for chillers to prevent decomposition of metal piping.

Botanic Garden

Reductions in maintenance of the facilities and care of the botanical collections.

- Many world-wide rare and endangered species in the collection would receive insufficient care.

- Support for scientific research on species in the collection would be eliminated.
- Public outreach programs and educational seminars would be eliminated.
- Annual public floral displays, such as the Poinsettia show, would be severely curtailed.

Library Buildings and Grounds

Reduce critical ongoing maintenance in the Library buildings.

- Ongoing asbestos removal would be curtailed.
- Painting would be reduced to spot touch ups.
- Building systems maintenance including elevators, escalators and security systems would be reduced.
- Failed systems would remain out of service until funds became available to fix them.
- Fire alarm, smoke detection and sprinkler system maintenance would be reduced. Failure in these systems could result in permanent damage to Library collections.
- Air conditioning systems, which are critical for maintaining the indoor environment for Library collection preservation, would be reduced. Potential for damage to Library collections.

CAPITOL GROUNDS

Question. In fiscal years 1992 and 1993 the Committee provided funding for improvements to the Capitol Grounds. The Committee expected that the Architect would assign a high priority to improvements in the design and appearance of the grounds and pursue fiscal year 1993 activities with greater alacrity.

What is the status of the grounds improvement program?

Answer. Funding provided in fiscal year 1992 was obligated as follows:

Equipment	\$81,650
Improvements to Sq. 575	31,254
Replace Trees	88,125
Purchase of Trash Receptacles	23,880
Purchase of Benches	49,750
Total	274,000

Funding provided in fiscal year 1993 is proceeding with the following schedule.

Olmsted Planter Repair	In progress, completion summer 1993.
Replace Additional Trees	In progress, completion summer 1993.

Question. What can be anticipated for future improvements?

Answer. At this time, future improvements will concentrate on maintaining the grounds, including the ongoing sidewalk and street repairs.

COMMITTEE HEARING ROOMS

Question. What is the status of the hearing room renovation program in the Senate Office Buildings?

Answer. The program is proceeding, based on the approval of the Senate Committee on Rules and Administration of which hearing rooms are renovated, as well as the availability of funding. Renovations include all hearing rooms systems, finishes, and furnishings.

A total of \$953,000 was provided in fiscal year 1991 for the renovation of three committee hearing rooms SD-106, SD-G50 and SD-192. In fiscal year 1992, \$846,000 was provided to renovate three committee hearing rooms SD-430, SD-366 and SD-226.

These renovations generally include the following elements: new carpeting and draperies, audio loop for the hearing impaired, repair and restoration of marble, refinishing of all bronzework, refinishing of all wall paneling, detailing of ceiling decoration and the installation of a new ceiling system. The new lighting system includes energy efficient general room lighting, television lighting, plus a full dimming system to control the lighting for each event. The air conditioning system is being completely replaced and each room is being prepared to accept media cabling to enable the future connection to the new Dirksen subhub facility.

This project is directed at renovating all committee hearing rooms in Dirksen and Russell. The majority of Dirksen committee hearing rooms have the same general arrangement, rostrum location, ceiling height, etc. and because of that, the general requirements for lighting designs and other elements of restoration are easily defined and estimated. The more unique and ornate character of the Russell rooms make each design more unique and more difficult to project costs. However, it is anticipated that a total of \$6,560,000 will be required to complete all of the rooms included in this program which is scheduled for completion in 1997.

Question. What hearing rooms will be renovated during fiscal year 1993 and 1994?

Answer. Four hearing rooms have been approved for renovation by the Senate Committee on Rules and Administration during fiscal year 1993: SD-406, Environment and Public Works; SD-538, Banking; SD-215, Finance; and SD-419, Foreign Relations.

Until the Senate Committee on Rules and Administration approves hearing rooms for renovation during fiscal year 1994, we cannot project which specific rooms will be renovated. Funding is included in the budget base to renovate four hearing rooms.

TEMPORARY EMPLOYEES

Question. In your budget you have requested that a position of a Structural Engineer which has existed for a minimum of 30 years as a temporary position charged against various construction projects, be made a permanent position.

What is the extent of this type of practice?

Answer. With respect to temporary staff, the Architect has established an agency task force to review all temporary positions. The task force will examine the extent and functions of the temporary positions, and make recommendations to the Architect of those that should be considered for conversion to permanent slots.

Question. For the record provide a listing of the current temporary employees. This listing is to include the title, date of employment and salary of each position.

Answer. The following material was supplied for the record.

ARCHITECT OF THE CAPITOL TEMPORARY EMPLOYEE LISTING AS OF
APRIL 9, 1993

[Excludes Davis-Bacon Act employees]

Title	Category	Incumbent	Salary	Temporary EOD
Architect of the Capitol, immediate office: Information strategy officer	3	Lowe, R	\$86,589	1/10/93.
Office of the Curator:				
Clerk-typing	1	Strickland, D	19,123	12/29/91.
Clerk-typing	2	Dix, L	22,006	10/8/89.
Records management branch:				
Microfilming clerk	1	Ashby, R	19,123	9/3/91.

ARCHITECT OF THE CAPITOL TEMPORARY EMPLOYEE LISTING AS OF
APRIL 9, 1993—Continued

[Excludes Davis-Bacon Act employees]

Title	Category	Incumbent	Salary	Temporary EOD
Microfilming clerk	1	Lucas, D	19,669	6/17/90.
Microfilming clerk	1	Gatlin, M	19,669	5/6/90.
Photography branch:				
Photographic archives technician	1	Badal, C	23,474	11/17/91.
Photographer (lab)	2	Beasley, L	24,988	10/22/90.
Information resources management:				
Computer operator	2	Smoot, F	27,259	5/20/91.
Computer programmer	2	Hatcher, L	23,474	11/19/89.
Secretary-typing	3	Chaney, V	26,502	5/6/90.
Office of the Assistant Architect: Assistant to the assistant architect	3	Ellison, J	77,765	8/13/90.
Architectural division:				
Project architect	1	Hildebrand, K	42,984	5/20/91.
Architectural draftsman	2	Fogle, E	40,753	3/6/85.
Architectural draftsman	2	Johnson, J	38,901	4/1/87.
Architectural draftsman	2	Tartaro, M	44,327	6/4/84.
Architectural draftsman	2	Copeland, A	37,975	5/21/90.
Architectural draftsman	2	Luke, J	37,975	1/2/90.
Architectural draftsman	2	Schonberger, K	41,470	2/4/85.
Architectural draftsman	2	Gurney, Y	36,123	10/23/89.
Secretary typing	2	Epperson Hiser, K	23,848	2/26/90.
Architectural draftsman	2	Olmsted, K	41,470	2/6/89.
Interior designer	2	Tassler, S	34,744	10/31/88.
Structural engineer	3	Anderson, N	46,843	2/12/79.
Architectural historian	3	Allen, W	42,984	6/1/82.
Interior design specialist	3	Powers, A	47,958	8/27/84.
Construction management division:				
Architectural inspector	1	Merson, E	42,591	12/23/91.
Chief stone inspector	1	Maggio, D	41,641	5/5/91.
Contract administrator	1	Reed, C	38,107	12/8/86.
Chief clerk	1	Knapp, R	51,042	12/2/65.
Contract administrator	1	Kassab, G	33,623	11/12/85.
Contract manager	1	Martin, F	49,517	3/9/92.
Project manager	1	Danielson, J	49,517	9/4/90.
Secretary typing	1	Wood, J	23,167	6/4/89.
Construction representative	1	Powell, H	47,013	4/19/80.
Assistant construction scheduler	1	Perron, J	44,327	12/18/88.
Chief inspector	1	Andrukite, J	47,013	10/5/82.
Clerk-typist	1	Hunt, L	21,395	11/4/90.
Assistant chief clerk	1	Rollins, C	21,124	5/7/90.
Office automation clerk	1	Tyson, T	20,784	1/26/92.
Secretary typing	1	Pilkerton, L	23,848	1/25/88.
Secretary	2	Lukas, P	32,710	9/24/89.
Chief inspector electrical	2	Remus, F	51,042	10/4/76.
Project manager	2	Krapp, J	62,291	6/14/76.
Contract coordinator	2	Blank, J	47,013	11/12/86.
Construction scheduler	2	Jensen, R	60,696	11/12/84.
Construction branch:				
Assistant construction manager	2	Davis, B	54,308	9/26/86.
Secretary	2	Rosenberg, E	32,710	8/2/76.
Construction technician	2	Parker, I	29,641	7/28/86.
Tools and parts attendant	2	Simms, D	23,712	5/17/90.
Cad engineering draftsman	2	Nicastro, C	23,474	11/27/89.

ARCHITECT OF THE CAPITOL TEMPORARY EMPLOYEE LISTING AS OF
APRIL 9, 1993—Continued

[Excludes Davis-Bacon Act employees]

Title	Category	Incumbent	Salary	Temporary EOD
Clerk-typist	2	Spracklin, L	22,006	11/10/86.
Office automation clerk	2	Norris, M	20,784	12/29/91.
Tools and parts attendant	2	Jones, J	20,405	3/22/92.
Tools and parts attendant	2	Rhoads, J	20,405	2/19/92.
Procurement clerk	2	Pitsnogle, B	18,951	1/12/92.
Tools and parts attendant	2	Jones, D	18,741	7/12/92.
Procurement clerk	2	Pennypacker, A	18,340	7/12/92.
Procurement clerk	2	Case, J	18,340	4/27/92.
Procurement clerk	2	Burke, J	16,939	10/1/91.
Procurement clerk	2	Gass, R	16,393	4/13/92.
Technical services section:				
Engineering technician	1	Fauntleroy, R	28,715	2/9/92.
Engineering draftsman	1	Ingram, R	28,715	2/9/92.
Engineering technician	1	Johnson, B	27,789	4/5/92.
Engineering technician (est)	1	Reade, D	23,474	11/17/91.
Engineering draftsman	1	Pace, J	22,717	4/5/92.
Engineering draftsman	1	Sturniolo, J	18,951	3/8/92.
Engineering draftsman	1	Billmeyer, B	18,951	3/8/92.
Engineering draftsman	1	Wade, M	18,951	1/26/92.
Air conditioning engineering division:				
Time and leave clerk dtms	2	Grandison, G	24,450	8/25/91.
Mechanical engineer (energy cons.)	2	Adams, K	30,287	8/23/92.
Air conditioning engineer	2	Goodman, E	42,984	2/19/91.
Engineering draftsman	2	Hugger, Q	16,939	2/3/92.
Secretary typing	3	Otterson, D	24,529	2/9/87.
Electrical engineering division:				
Electrical engineer	2	Bajbor, Z	52,385	3/7/88.
Electrical engineer	2	Matte, R	51,042	6/26/89.
Electrical engineer	2	Sethi, S	45,670	7/29/91.
Electrical engineer	2	Nguyen, D	44,327	12/10/90.
Engineering draftsman	2	Treacy, R	24,231	12/4/89.
Engineering draftsman	2	Norris, D	24,988	1/22/89.
Senate restaurants:				
Time and leave clerk	4	Brown, S	20,784	8/4/91.
Time and leave clerk	4	Wright, J	20,784	8/11/91.
Elevator engineering division: Equipment specialist (elevator)				
	2	Livesay, W	45,670	5/3/92.
Electronics engineering division: Engineering draftsman				
	3	Rouse, E	24,988	1/9/83.
Fire protection engineering division: Fire protection eng tech				
	2	McCormick, D	28,715	8/1/88.
Safety engineering division: Safety and occupational health spec				
	1	Kimball, M	33,623	3/19/90.
Office of the administrative assistant: Clerk-typist				
	3	Ridley, Robinson T ...	21,395	5/7/90.
Inventory branch: Supply tech (inventory)				
	2	Nickens, K	22,486	9/9/90.
Office services division: Messenger-driver				
	2	Jackson, D	22,048	12/19/88.
Purchasing branch:				
Purchasing agent	2	Freund, B	21,805	3/12/90.
Office automation clerk	2	Richardson, K	19,123	2/24/92.
Office of the General Counsel:				
Secretary typing	2	Perry, M	26,502	4/15/85.
Attorney adviser	2	Lambert, P	47,920	11/5/90.

ARCHITECT OF THE CAPITOL TEMPORARY EMPLOYEE LISTING AS OF
APRIL 9, 1993—Continued

[Excludes Davis-Bacon Act employees]

Title	Category	Incumbent	Salary	Temporary EOD
Capitol buildings, immediate office, supervising engineer, storeroom branch: Time and leave clerk	4	Dennison, P	20,784	9/8/91.
Capitol buildings, wood crafting division: Wood craftsman	2	Meneghini, P	32,302	6/12/83.
Senate Office Buildings, services division:				
Time and leave clerk	4	Maxey, T	20,784	1/10/93.
Time and leave clerk	4	Lopez, C	25,672	2/9/92.
Time and leave clerk	4	Lawrence, L	20,784	10/6/91.
Senate Office Buildings, furniture division, storage and delivery branch:				
Laborer	1	Metz, J	19,594	1/21/93.
Laborer	1	Oliver, R	19,594	2/8/93.
Laborer	1	Bates, P	19,594	2/3/93.
Laborer	1	Chance, M	19,594	2/3/93.
Laborer	1	Bowles, K	19,594	2/8/93.
Senate Office Buildings, electrical division: Laborer	2	Fitzgerald, R	19,594	1/21/93.
Senate Office Buildings, paint and finishing division: Laborer	2	Lawson, P	19,594	1/26/93.
Senate Office Buildings, wood crafting division:				
Laborer	2	Lister, H	19,594	1/26/93.
Laborer	2	McSwain, A	19,594	1/21/93.
Laborer	2	Ross, L	19,594	4/2/93.
Laborer	2	Cianciolo, A	19,594	4/2/93.
Senate Office Buildings, upholstery division: Upholsterer	2	Honeycutt, W	28,413	9/8/91.
Senate Office Buildings, night labor branch:				
Laborer-recycling	4	McLean, M	17,971	2/22/93.
Laborer-recycling	4	Fulton, D	20,176	1/26/93.
Laborer-recycling	4	Rispoli, R	20,176	1/26/93.
Laborer-recycling	4	Bonner, G	20,987	2/26/92.
House Office Buildings, services division:				
Service assistant	2	Berger, M	23,839	11/30/92.
Service assistant	2	Griswold, L	23,839	10/19/92.
Program analyst (recycling)	4	Mugan, P	23,474	2/9/92.
Time and leave clerk	4	Corbus, L	20,784	8/11/91.
Time and leave clerk	4	Whitman, B	20,784	8/25/91.
Time and leave clerk	4	Jarboe, L	20,784	8/11/91.
Time and leave clerk	4	Merritt, B	20,784	8/19/91.
House, day labor branch: Laborer (day)	2	Billard, M	17,971	12/7/92.
House garages, parking lot No. 1:				
Parking lot attendant	3	Butler, J	21,195	5/22/90.
Parking lot attendant	3	Joyner, J	21,195	11/19/89.
House garages, parking lot No. 5: Parking lot attendant	3	Jackson, W	21,195	11/19/89.
House garages, parking lot No. 9: Parking lot attendant	3	Mullen, E	21,195	6/17/90.
Capitol Power Plant, maintenance division, coal and labor branch:				
Laborer-coal unloader	3	Washington, C	20,405	6/30/91.
Laborer-coal unloader	3	Inabinet, A	20,405	6/30/91.

ARCHITECT OF THE CAPITOL TEMPORARY EMPLOYEE LISTING AS OF
APRIL 9, 1993—Continued

[Excludes Davis-Bacon Act employees]

Title	Category	Incumbent	Salary	Temporary EOD
Library of Congress, Office of the Supervising Engineer: Time and leave clerk	4	Lein, K	22,617	9/22/91.
Library of Congress, maintenance division:				
Laborer	2	Cusato, T	20,405	2/23/92.
Laborer	2	Harper, B	19,594	3/21/93.

SUMMARY

Category	Totals
1=Employees assigned to specific projects	35
2=Employees assigned to multiple projects (due to additional workload)	65
3=Employees assigned to support primary mission: operation, care and maintenance, Capitol buildings and facilities	15
4=Funding of temporary employees provided in annual appropriations	16
Total temporary employees	131

WAREHOUSE SPACE RENTAL

Question. You are requesting \$800,000 for the rental of warehouse space. This is an increase of \$54,000 over the current base for these facilities.

What is the location of these facilities?

Answer. There is a warehouse at 1430 South Capitol Street Warehouse which is shared by the AOC Construction Branch, Clerk and Doorkeeper of the House, Superintendent of the Senate Office Buildings, Superintendent of the House Office Buildings, and Supervising Engineer of the Capitol.

The Star Warehouse, located at 120 Washington Avenue, S.E., is shared by the Clerk and Doorkeeper of the House.

Question. Who occupies the space?

Answer. The warehouse at 1430 South Capitol Street Warehouse is shared by the AOC Construction Branch, Clerk and Doorkeeper of the House, Superintendent of the Senate Office Buildings, Superintendent of the House Office Buildings, and Supervising Engineer of the Capitol.

The Star Warehouse is shared by the Clerk and Doorkeeper of the House.

Question. Why are they needed?

Answer. The following information was supplied for the record.

	Amount	Square foot
Fiscal year 1994 estimate (December 22, 1992), 1430 South Capitol Street:		
Amount square foot rental fee (72,287 square feet)	\$504,743	\$6.98
Electricity	19,000	.26
Gas	23,000	.32
Telephone	770	.01
Subtotal, 1430 South Capitol Street	547,513	7.57
Fiscal year 1994 estimate (December 22, 1992), 120 Washington Ave., S.E.:		
Rental fee (44,860 square feet)	215,328	4.80
Electricity	8,000	.18
Gas	13,000	.29
Telephone		
Subtotal, 120 Washington Ave., S.E.	236,328	5.27
Total estimate, fiscal year 1994	783,841	
Fiscal year 1993 budget	746,000	

	Amount	Square foot
Fiscal year 1994 budget	800,000
Increase required	54,000

SENATE PAGE DORMITORY

Question. Last year the Committee provided funding \$2,000,000 for the acquisition and renovation of property for use as a dormitory facility for Senate pages.

Could you give us a status report on that project?

Answer. In February negotiations were ended with the owner of the properties that the Architect was authorized to acquire. Negotiations ended due to an inability to agree on an acquisition price. The AOC and the Senate Sergeant at Arms have continued to search for alternate locations suitable for the Senate Pages.

Question. When can the Senate pages expect to move into the dorm?

Answer. Until an appropriate facility can be located, acquired, and renovated, the Senate pages will have to remain in the existing facility. There is no schedule for their relocation at this time.

QUESTIONS SUBMITTED BY SENATOR CONNIE MACK

REDUCTIONS BELOW FISCAL YEAR 1993 LEVELS

Question. The joint leadership of the Congress is committed to reducing funding for the Legislative Branch. What is your general assessment of, for example, a 5 percent reduction below fiscal year 1993 enacted levels for your programs? This matter has been discussed with your staff and in the press for a few weeks now. Have you thought at all how you might implement such a reduction and what specific things you would postpone or eliminate?

Answer. A 6.5 percent reduction below fiscal year 1993 funding levels for all AOC appropriations would require a reduction totalling \$10,677,000, resulting in an appropriation level of \$153,575,000. This revised appropriation level would be \$58,800,000 below the requested level of \$212,375,000 for all appropriations.

Viewed in terms of our fiscal year 1993 budget base, after fiscal year 1993 non-recurring reductions totalling \$12,505,000 are reduced from the 1993 appropriation of \$164,252,000, the 6.5 percent reduction totalling \$10,677,000 would permit an increase of \$1,828,000. This amount is far less than our non-discretionary increases, which total \$14,484,000. In other words, in order to function within a total allowance of \$153,575,000, we would have to cut or absorb \$12,656,000 of programs and staff from fiscal year 1993 levels to fund the non-discretionary programs at the requested level and operate at a 6.5 percent reduced level.

As you are aware, my functions are performed at the direction of the congressional leadership and various Committees and Commissions of jurisdiction. I would have to seek their guidance on which programs and staffing levels to cut before I could specifically answer that question.

I could state unequivocally that this level of funding would have serious affects on my ability to provide services at the present level to the Congress. There may be areas where we can make economies and service adjustments without immediate affects. However, I must point out that over the past ten years, total staff for the Architect of the Capitol, including the Botanic Garden, funded annually in the Legislative Branch Appropriation Act, has had a net decrease of one position, from 2,061 positions in 1983 to 2,060 in 1993. Last year, for example, the Congress cut my staffing by 18 positions.

I would like to put these staff losses into perspective. Since 1983, an additional 1,544,636 square feet of space, or a 13 percent increase, has been added to the Capitol complex, as well as 7.2 acres of grounds. All of these additional areas require ongoing care, maintenance and operational resources, as well as management oversight to ensure that those functions are carried out properly and efficiently. It should be noted as well, that in addition to increased building areas to maintain, repair and modify, many new functions are being accomplished with minimal permanent staff increases. Examples of these include electronic systems for security, fire and life safety and energy management, waste recycling, telecommunications management, hazardous materials management and disposal, lease management, energy efficient lighting, and the like. Many of these needs have been met by hiring temporary personnel to accomplish the necessary work load.

Should the Committee desire to effect further reductions on my operations, I ask that the Committee would work with me and my staff to ensure that the effects of the reductions are clearly spelled out for the Congress.

COLA'S AND LOCALITY PAY

Question. The President has proposed that there be no cost of living increase and no locality pay increase next year. If we agree with the President in this regard, how much money can we cut out of your budget?

Answer. The total amount requested in the fiscal year 1994 budget for the January 1994 pay raise is \$1,253,000. That amount could be reduced if legislation is enacted to defer the pay raise. With respect to the locality pay, I have included a total of \$1,786,000 in the fiscal year 1994 budget for this item. That amount could be reduced if legislation is enacted to defer the locality pay effective date.

WAGE BOARD EMPLOYEES

Question. The Architect has 2,060 authorized employees, of which 1,706 are compensated under the Wage-Board system, which covers employees engaged in recognized trades and crafts. The pertinent sections of Title 5 of the U.S. Code provide that "rates of pay of prevailing rate employees shall be fixed and adjusted from time to time as nearly as is consistent with the public interest in accordance with prevailing rates," but the Architect is authorized to utilize the Wage Board system to the extent he deems feasible.

Could the Architect please provide a listing of the range of hourly wages for various tradesmen and craftsmen, such as plumbers, painters, electricians, carpenters, unskilled laborers, etc.? What is the total compensation and associated benefits paid under this regime, for both regular and overtime work? When is the next Wage Board adjustment due? Is there an estimate of the cost of that action and is it reflected in the fiscal year 1994 budget request? Does the authority to utilize the Wage Board system "to such extent as the Architect deems feasible" give the Architect the authority to withhold and adjustment? Has such an action ever been taken?

Answer. Wage Board Employees are currently scheduled to receive a wage board adjustment in January, 1994. The estimated cost of the adjustment for fiscal year 1994 is \$1,045,000, and that is reflected in the fiscal year 1994 requests.

The Architect of the Capitol, by Order dated November 24, 1972, issued under authority of 5 U.S.C. 5349, adopted such features of the Federal Wage System established by Public Law 92-392 (86 Stat. 564-575) as deemed feasible in establishing a prevailing wage system for wage board employees of the Office of the Architect of the Capitol.

The Federal Wage System adopted by the Architect provides that the "pay of prevailing rate employees shall be fixed and adjusted from time to time as nearly as is consistent with the public interest in accordance with prevailing rates." Under existing regulations, wage surveys are conducted annually, and pursuant to 5 U.S.C. 5344, increases in rates of basic pay pursuant to a wage survey must be implemented at the beginning of the first pay period on or after the 45th day after the wage survey is ordered.

Therefore, pursuant to the Order of the Architect, wage board employees are entitled to the annual adjustment. In order to withhold the adjustments, the Order of the Architect would have to be amended, should the Committee so direct; or, the adjustments could be delayed or withheld by legislative action.

The so-called "cost of living" adjustments for wage board and general schedule employees were withheld in 1983 and 1986 as a result of legislative action.

As in the past, a decision to withhold an adjustment in pay should include more than just wage board employees.

STATUTORY POSITIONS

Question. Among the Architect's 2,060 authorized employees are 22 "statutory" positions. What are those positions and what are their rates of pay (in dollars not, not ES levels)?

Answer. The following information was provided for the record.

Architect of the Capitol	\$123,100
Assistant Architect of the Capitol	115,700
Director of Engineering	108,200
Administrative Assistant	104,130
Senior Landscape Architect	98,345
Executive Officer	98,345
Budget Officer	98,345

General Counsel	98,345
Supervising Engineer, U.S. Capitol Building	98,345
Superintendent, House Office Buildings	98,345
Superintendent, Senate Office Buildings	98,345
Staff Assistant	89,922
Assistant Director of Engineering	80,194
Deputy General Counsel	80,194
Assistant Budget Officer	82,625
Superintendent of Construction	80,184
Supervising Engineer, Library of Congress	87,484
Superintendent of Garages, House Office Buildings	75,880
Director of Food Service, Senate Restaurants	77,080
Special Functions Manager, Senate Restaurants	47,930
Administrative Officer, Senate Restaurants	52,370
Assistant Director of Food Service, Senate Restaurants	58,247

NOTE: Excludes one temporary position paid at statutory rates.

LIBRARY OF CONGRESS RENOVATION AND RESTORATION

CONTRACTOR CLAIM

Question. On page 1.20 of your justification document you state that "it is possible that the contractor (for A/C modernization in the Library renovation) may construe the availability and resequencing of Phase II units as such delays and submit a claim for an extension of contract performance time and monetary compensation." What is the status of this possible claim and the extent of your exposure?

Answer. While we feel there may be some entitlement to the Contractor, the provision of the contract requires that any claim for alleged delays must be fully documented/substantiated to sustain such claim. Thus far, the Contractor has not provided such documentation to sustain the claim and has been advised that the Architect will take no action until the appropriate information is furnished.

Potential exposure to the Government is \$182,000 based on a substantial completion date of October 30, 1992.

COST OVERRUN

Question. You have written the subcommittee concerning a cost overrun in the Library renovation project, and asked for a \$3.2 million additional appropriation above the \$81 million appropriated in fiscal year 1984 to complete the project. Since this matter is not addressed in your fiscal year 1994 budget justification, could you discuss for the record the circumstances that brought us to this juncture and the requirement for the additional funding? Do you intend to submit an official budget request for the funds?

Answer. The following information is provided for the record.

LETTER FROM GEORGE M. WHITE

FEBRUARY 2, 1993.

Honorable HARRY REID,

Chairman, Subcommittee on Legislative Branch Appropriations, Committee on Appropriations, United States Senate, Washington, DC.

DEAR MR. CHAIRMAN: A recent detailed financial analysis of the Library of Congress Renovation and Restoration project has indicated an anticipated funding deficiency of approximately \$3.2 million. This amount has been conservatively estimated and is deemed to be the maximum that will be needed. We hope to be able to reduce the need as much as possible, but we believe that it would be unrealistic to present a smaller number at this time.

As is noted in the attached documentation, some of the funding deficiency results from absorption of the cost of certain project items that were outside the original scope of work. Some of the costs have increased as a result of expansion of the scope and sophistication of individual items, such as, for example, the expanded and enhanced security program.

It should also be noted that of the \$14.725 million in increases on various items (over the original budget), we have absorbed \$11.525 million through decreases and savings in other items.

It is, perhaps, useful to note, that the original cost estimate of \$81 million, upon which the funding was based, was prepared in 1983. The 4 percent increase now needed to complete the project is deemed to be minimal. It is a remarkable achievement for a restoration project of this magnitude and complexity that has been con-

ducted over a ten year period of changing needs and inflation. We have, as you know, exerted our best efforts over the entire ten year period to keep costs within the original funding limit. We believe that we have been substantially successful in doing so, particularly in light of modifications to the program.

In recognition of existing financial constraints, however, we have included in the attached documentation, particularly the appendix, a number of options which indicate possible items for postponement or elimination in order to achieve completion of the project within the \$81 million. The recommended Option C scheme, which is based on completion of the project within the existing funding level, has been approved by the Librarian.

Funding of the requested amount, of course, would be the least expensive option since funds will have to be appropriated in the future to accomplish the required goals. We shall proceed of course, as best we can if it is deemed necessary to do so. I shall be pleased, as always, to provide further information if it is so desired.

A similar letter has been sent to the Honorable Vic Fazio, Chairman, Subcommittee on Legislative Branch Appropriations, Committee on Appropriations, U.S. House of Representatives.

Cordially,

GEORGE M. WHITE, FAIA,
Architect of the Capitol.

EXHIBIT A.—RENOVATION AND RESTORATION OF THE LIBRARY OF CONGRESS PROJECT FUNDING SUMMARY—ORIGINAL VS PROJECTED

[Thomas Jefferson Building and John Adams Building]

Phase/discipline	Allotment		Allotment	
	Original	Current as of July 31, 1992	Projected through comple- tion (May 1994)	Variance through completion (May 1994)
Phase I:				
First interim occupancy	\$1,638,000	\$1,994,058	\$1,994,058	(\$356,058)
Arch/elec/mech	24,052,000	23,362,494	¹ 23,300,666	751,334
Colonnades	3,852,000	6,392,000	6,292,000	(2,440,000)
A.C. modernization	6,102,000	6,809,000	6,809,000	(707,000)
Exterior windows	1,405,000	915,649	915,649	489,351
Specialty painting	306,000	622,216	622,216	(316,216)
Art restoration	1,245,000	1,995,000	² 2,095,000	(850,000)
CATV/security	854,000	1,532,000	³ 2,532,000	(1,678,000)
Phase II:				
Second interim occupancy	1,129,000	1,028,878	728,878	400,122
Arch/elec/mech	29,985,000	23,327,001	⁴ 24,562,000	5,423,000
Redesigned colonnade fore- courts	NA	1,945,000	⁵ 1,895,000	(1,895,000)
A.C. modernization	(⁶)	(⁶)
Colonnades	(⁶)	(⁶)
Art restoration	(⁶)	(⁶)
CATV/security	(⁶)	(⁶)
Administration	3,364,000	7,661,800	9,347,051	(5,983,051)
Consulting services	3,800,000	2,507,399	⁷ 2,498,976	1,301,024
Unallotted contingency	3,268,000	907,505	107,505	3,160,495
Third interim, occupancy/tenant accommod	NA	NA	⁸ 500,000	(500,000)
Totals	81,000,000	81,000,000	84,199,999	(3,199,999)

EXHIBIT A.—RENOVATION AND RESTORATION OF THE LIBRARY OF CONGRESS PROJECT FUNDING SUMMARY—ORIGINAL VS PROJECTED—Continued

[Thomas Jefferson Building and John Adams Building]

Phase/discipline	Allotment		Allotment	
	Original	Current as of July 31, 1992	Projected through comple- tion (May 1994)	Variance through completion (May 1994)
Variance summary	(+ 11,525,326) (14,725,325)
Net	(3,199,999)

¹ Includes items that are outside the intent of the scope of the original renovation and restoration program, i.e., replace exhaust fans [JAB]—\$30,000; replace air conditioning equipment [TJB]—\$250,000; bookstack elevator car doors [JAB]—\$250,000.

² Includes \$100,000 to accomplish Winters' Murals in Fifth Floor (North and South) Reading Rooms, John Adams Building. The Architect of the Capitol has reserved the right to have this work accomplished during the term of the contract at previously agreed price. Actual work has been deferred in order to have more significant work in the Thomas Jefferson Building accomplished at the present time.

³ The figure of \$2,532,000 includes an estimated \$1,000,000 for completion of the physical system in Phase II but does not include \$354,947 for rough-in which was accomplished under Phase I AP/E/MPFP Contract; \$73,000 and \$120,000 for system design by Vitro Corporation and Mr. Doug Knowles, respectively; and an estimated \$250,000 for rough-in being accomplished under Phase II AP/E/MPFP Contract. Collectively these total \$3,329,947.

⁴ Includes estimate/allowance for the following:

Sprinklers—Rare Book Stack—TJB	\$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000
Coolidge Auditorium—Whittall Pavilion, TJB (General Allowance)	300,000
General Contingency	500,000

⁵ Does not include \$129,000 for design fees by Arthur Cotton Moore which is included in "Consulting Services."

⁶ See phase I.

⁷ Includes \$129,000 for design fees for redesigned office colonnade forecourts—by Arthur Cotton Moore; \$73,000 and \$120,000 for security system design by Vitro Corporation and Mr. Douglas Knowles, respectively.

⁸ Based upon the first and second interim occupancy, it is anticipated that it will be necessary to provide certain tenant accommodations or modifications when phase II is completed. The \$500,000 is an allowance for such activities.

APPENDIX OF NOTES AND OPTIONS TO LIBRARY OF CONGRESS RENOVATION AND RESTORATION FUNDING STATUS

FEBRUARY 2, 1993.

Throughout the term of the project, the values of various disciplines of work will have resulted in surplus and deficit variances. The surplus variances (projected to be +\$11,575,326) will be exceeded by deficit variances (projected to be -\$14,725,325) by the amount of -\$3,199,999; an unfunded differential. (Refer to Exhibit "A")

The existing project funding has or will have absorbed various costs for activities which could normally be considered part of an undertaking such as the Renovation and Restoration Program even though some may not have been specifically included in the original Scope of Work. These include design/construction changes, costs associated with extended overhead/administrative necessary to complete the project, absorption of costs and cost differentials for unplanned and planned activities.

Clearly, in addition, there are items that have been absorbed to this point which exceed the original concept of the Renovation and Restoration Program thus reducing funds available to complete "Scope of Work Activities." The more significant of these include such items as:

Description	Amount
Items identified outside the Scope of Work	\$530,000
Miscellaneous items outside Scope of Work (estimated)	100,000
Enhanced and expanded security systems	1,475,947
Redesigned Office Colonnade Forecourts (costs vs. savings—dif- ferential)	196,750
Total	2,302,697

Based upon known and projected information, completion of the project to the fullest extent possible will result in an unfunded differential in the amount of -\$3,199,999. This leaves various items of work to be considered for which there are

no funds available (unfunded differential). These considerations include the following items:

Unfunded Differential Summary

<i>Description</i>	<i>Estimated Amount</i>
Sprinklers—Rare Book Stacks—TJB	¹ \$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	¹ 30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	² 420,000
Coolidge Auditorium—Whittall Pavilion, TJB	³ 300,000
General Contingency	⁴ 500,000
Third Interim Occupancy/Tenant Accommodations	⁵ 500,000
Completion of Security Systems—Phase II	⁶ 1,000,000
Winter's Murals—Fifth Floor, JAB	⁷ 100,000
Total	3,200,000

¹ Fire protection systems in these areas originally were planned to be Halon. However, Halon is being phased out by Executive Order which is being enforced by the Environmental Protection Agency. Fire protection systems for these areas will be quick response "wet" type.

² Five small A/C units originally removed from the Scope of Work at request of the Library of Congress due to need for space to house staff. Space(s) are now available but the systems have deteriorated to such extent that extensive asbestos abatement and other work will also be required. All work is included in the stated cost estimate.

³ This amount of \$300,000 is in addition to the \$1,263,000 available in original funding and \$593,000 which Mr. James R. Trew, Director, Integrated Support Services, has indicated the Library of Congress may fund for Auditorium and Stage Equipment. Total estimated cost for the Coolidge Auditorium—Whittall Pavilion is \$2,156,000.

⁴ Deemed necessary to cover unforeseen items that may be encountered and to offset assessment of potential per diem liquidated damages as provided by contract(s).

⁵ Considered necessary to provide custom tenant accommodations and interim occupancy upon completion of Phase II areas and to make adjustments to Phase I areas when various temporary occupants move.

⁶ To complete installation of physical system in Phase II areas. Will include hardware, devices, equipment, etc., to make system operational and functional. Phase II rough-in is being performed under the major Phase II AP/E/MPFP contract.

⁷ To complete restoration of Winter's Murals, Fifth Floor North and South Reading Rooms, John Adams Building. Restoration of these pieces have been postponed so that more significant works in the Thomas Jefferson Building can be restored.

The Committee on Appropriations has long taken the position that the Renovation and Restoration Program should be completed within the available resources, namely, the \$81,000,000 appropriated in fiscal year 1984. Using that amount as a limit, and in order to bring the project to a satisfactory conclusion, decisions are necessary relating to which elements of construction should be completed and which should be left uncompleted. There are various options available which may be pursued in deciding a satisfactory manner for finalizing the Renovation and Restoration Program. Three options identified as "A", "B" and "C" are demonstrated in the attached sheets utilizing information from the "Unfunded Differential Summary." There are, of course, other possible combinations or options that could be considered.

If additional funding were to be made available, all or any selected portions of the remaining items could be completed (depending upon the amount of additional funding). Any or all of the items selected for completion would be based upon need, amount of available funds, etc.

It is noted that of the original \$81,000,000 appropriation, there is an amount of \$1,263,000 established to be absorbed for the Renovation and Restoration of the Coolidge-Whittall. The most recent estimate by the Architect of the Capitol for a "minimum scope" program for this effort is \$2,051,000, a difference of \$788,000. Of this difference, the Library of Congress may fund Auditorium and Stage Equipment estimated to cost \$593,000 leaving approximately \$195,000 as an unfunded differential; in summary,

Coolidge Auditorium—Whittall Pavilion

Estimate of Cost—"minimum scope"	-\$2,051,000
Tentative Library of Congress Funding	593,000
Total	- 1,458,000
Funding Available	1,263,000
Unfunded Differential	- 195,000

The unfunded differential of \$195,000 is included in the -\$300,000 in the "Unfunded Differential Summary" with the difference intended to offset potential for asbestos abatement and to cover overhead and profit if work is performed by a general contractor. These items are not considered in the "minimum scope" estimate of cost.

OPTION "A"

Option "A" would require that an additional \$3,200,000 be made available. With an additional \$3,200,000 all work items enumerated in the "Unfunded Differential Summary" can be completed. This would consist of the following:

<i>Description</i>	<i>Estimated Amount</i>
Sprinklers—Rare Book Stacks—TJB	\$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000
Coolidge Auditorium—Whittall Pavilion, TJB	¹ 300,000
General Contingency	500,000
Third Interim Occupancy/Tenant Accommodations	500,000
Completion of Security Systems—Phase II	1,000,000
Winter's Murals—Fifth Floor, JAB	100,000
Total	¹3,200,000

¹ Does not include \$593,000 which may be funded by the Library of Congress for auditorium and stage equipment.

OPTION "B"

Option "B" would require that an additional \$2,300,000 be made available. With an additional \$2,300,000 four (4) of the eight (8) work items enumerated in the "Unfunded Differential Summary" can be completed. The remainder, listed in Option "A", would remain unaccomplished. The items to be completed would consist of the following:

<i>Description</i>	<i>Estimated Amount</i>
Coolidge Auditorium—Whittall Pavilion, TJB	¹ \$300,000
General Contingency	500,000
Third Interim Occupancy/Tenant Accommodations	500,000
Completion of Security Systems—Phase II	1,000,000
Total	¹2,300,000

¹ Does not include \$593,000 which may be funded by the Library of Congress for auditorium and stage equipment.

OPTION "C"

Option "C" would not require any additional funding. It would, however, permit the accomplishment of various items from the "Unfunded Differential Summary" by utilizing the \$1,263,000 available for Coolidge-Whittall in the Thomas Jefferson Building which would remain unaccomplished. Items enumerated in the "Unfunded Differential Summary" that could be considered for completion would consist of the following schemes (unlisted items in each scheme would remain unaccomplished):

<i>Description</i>	<i>Estimated Amount</i>
I:	
Sprinklers—Rare Book Stacks—TJB	\$350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000
General Contingency	500,000
Total	1,300,000

or

II: ¹	
Sprinklers—Rare Book Stacks—TJB	350,000
Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Air Conditioning Units and Related Work—Decks 37 and 38, TJB	420,000

Third Interim Occupancy/Tenant Accommodations	500,000
Total	1,300,000

or

III:¹

Sprinklers—Instrument Storage—Ground Floor, NWP, TJB	30,000
Completion of Security Systems—Phase II	1,000,000
Winter's Murals—Fifth Floor, JAB	100,000
Total	1,130,000

or

Utilize \$593,000 from Library of Congress appropriations which, together with the \$1,263,000 yields a total of \$1,856,000 available for expenditure as follows:

<i>Description</i>	<i>Estimated Amount</i>
IV (Recommended):	
Sprinklers—Rare Book Stacks—TJB	\$350,000
Sprinklers—Instrument Storage—TJB	30,000
General Contingency ²	250,000
Third Interim Occupancy/Tenant Accommodations ²	250,000
Render Coolidge/Whittall "Usable"	300,000
Highest Priority Security Systems Work ²	500,000
Air Conditioning Work, Decks 37 and 38, TJB ³	176,000
Total	1,856,000

¹The elimination of the "General Contingency" may result in other items remaining incomplete.

²The General contingency and tenant accommodations items are estimated at \$500,000 each; because these items may not be needed in total, any amounts not needed will be applied to Security Systems work as indicated.

³The total needed is \$420,000, but this amount will enable some work to be accomplished.

Utilizing any scheme of this Option "C" would effectively exhaust the original funding of \$81,000,000 and would require new funding in the future in order to accomplish remaining items contained in the "Unfunded Differential Summary."

LETTER FROM GEORGE M. WHITE

MARCH 1, 1993.

The Honorable LEON E. PANETTA,
Director, Office of Management and Budget, Executive Office of the President, Washington, DC.

Attention: Richard Allen, Budget Examiner.

DEAR MR. PANETTA: I am transmitting, herewith, a revised estimate of appropriations for the Architect of the Capitol in the form of an amendment to the fiscal year 1994 Budget, which was submitted to you on December 15, 1992 via the Budget Preparation System. The increase of \$3,200,000, from \$22,186,000 to \$25,386,000, to the appropriation entitled "Structural and Mechanical Care, Library Buildings and Grounds", will provide for completion of the renovation and restoration of the Thomas Jefferson and John Adams Buildings of the Library of Congress.

It is my understanding that this amount will be included in the President's Budget for fiscal year 1994 and will be footnoted to indicate that it was submitted subsequent to the Congressional appropriations hearings.

Cordially,

GEORGE M. WHITE, FAIA,
Architect of the Capitol.

Attachments.

ARCHITECT OF THE CAPITOL STRUCTURAL AND MECHANICAL CARE—LIBRARY BUILDINGS AND GROUNDS

[Identification Code 01-0155-0-1-801]

Budget Appendix page	Heading	Fiscal year 1994—		
		Request pending	Proposed amendment	Revised request
One-xx	Library buildings and grounds, Structural and mechanical care.	\$22,186,000	\$3,200,000	\$25,386,000

For all necessary expenses for the mechanical and structural maintenance, care and operation of the Library buildings and grounds, [\$22,186,000] \$25,386,000, of which [\$11,580,000] \$14,780,000 shall remain available until expended.

ARCHITECT OF THE CAPITOL

STRUCTURAL AND MECHANICAL CARE

LIBRARY BUILDINGS AND GROUNDS

FOOTNOTE OF EXPLANATION

BUDGET AMENDMENT

It is requested that the following footnote be attached to tables and language relating to Account I.D. Code #01-0155-0-1-801 to explain an amendment to the budget request which occurred between the time of the submissions of the agency budget justifications and the President's Budget to the Congress.

Note. The fiscal year 1994 request of \$25,386,000 reflected in this account includes a budget amendment in the amount of \$3,200,000. This amount amends the original budget submission made by the Architect of the Capitol to allow for completion of the renovation and restoration project in the Thomas Jefferson and John Adams Buildings of the Library of Congress.

LOCALITY PAY

Question. You are requesting additional funds for "locality pay" throughout your budget. What is the total amount requested for this purpose? Does the Architect have any discretion in awarding this additional pay?

Answer. The total amount requested for locality pay for fiscal year 1994 is \$1,786,000. This amount was based on preliminary guidance from OPM and OMB. If locality-based pay regulations are implemented for employees in the Washington area, then the Architect will have to base pay rates accordingly. The requested amount for locality-based pay would have to be reviewed to assure that the basis for the estimate is in accordance with final guidelines. It is apparent that the locality percentage may be adjusted downwards, and if this happens, then the estimate may be reduced.

PROVIDENCE PARK LIGHTING

Question. It is my understanding from residents of the neighborhood that the Architect is considering proposals to provide much-needed lighting to the Providence Park area. While this seems to be a meritorious undertaking, I am curious as to what prompted it, under what authority it is undertaken, how it will be funded, and when?

Answer. Mr. Carroll and Mr. Franklin, representing this Office, met with approximately 35 residents of the area around the Park to discuss their reaction to a proposed lighting layout developed by Mr. Carroll. Approximately one-half wanted the new lighting installed as proposed. The other one-half did not want any lighting of any kind. The Park is part of Capitol Grounds and is considered to be included in the improvement to security lighting project. Funds have been appropriated for that purpose. The residents are considering the problem and will express their views in the near future.

DIRKSEN SENATE OFFICE BUILDING WATER QUALITY

Question. The water coolers in the Dirksen Senate Office Building corridors have been shut off for months while a project to clean the system to eliminate excessive

levels of lead and other contaminants proceeds. When will this project be completed, and at what cost?

Answer. This system has been out of service since May, 1992. Lead testing performed in April of 1992 established that this system specifically, had lead levels far higher than allowable. Out of a total of 221 samples drawn in the Senate Office Buildings, a total of 22 were considered above the threshold level of 20 parts per billion (ppb). Of the 22, a total of 15 were, in fact, samples drawn from this system. Based upon this, the system was shut down for study, review and necessary system modification.

The process of drawing samples, obtaining laboratory analysis, and then performing system modifications must be performed in a logical and orderly manner. For example, after a decision is made to draw a sample, we might wait one to three days to capture it at the proper time, because the lead leaches from lead solder and high lead brass materials. After the draw it is then transported to a lab. Turnaround time is approximately a week. The results must then be interpreted and other modifications proposed. This process has resulted in the cleaning of the system, flushing of the system, removal of a large chilled water storage tank, replacement of two drinking fountains and the related piping.

The latest effort to replace two drinking fountains with "lead free" units was recently accomplished. In addition, the service piping from the main circulating lines was replaced in the process. This yielded lead level tests on one "fountain" that were 92.4 ppb first draw and 9.4 ppb after thirty seconds of flushing. Another tested 38 ppb first draw and 8.3 after flushing. Had the effort to replace the two drinking fountains with lead free units resulted in acceptable lead levels in the water, replacement of all of the drinking fountains in that system would have been recommended. This test result was not seen as acceptable.

These results are being evaluated to determine if replacement of the copper circulating lines is necessary to further reduce the lead levels in the system.

Question. Have the water systems in the other buildings been thoroughly analyzed and are they also in need of cleaning or other modifications?

Answer. There is an ongoing water monitoring program in all buildings that is being refined on a continual basis as needs and results demand.

Question. How will the funds requested in the Capitol Buildings account for "environmental surveys and monitoring" support these and similar efforts?

Answer. The funds requested for "environmental surveys and monitoring" are to provide for temporary staffing or contractual services to provide for testing, analyzing and reporting on indoor air quality, lead in drinking water, asbestos, and other indoor environmental concerns. Existing permanent staff are capable of performing spot checks, establishing criteria for studies, and supervising ongoing monitoring activities. However, it has been estimated that monitoring work requires approximately two FTE years on an ongoing basis, and the existing staff cannot provide this level of support without eliminating other important duties.

RESTORATION OF ABOLISHED POSITIONS

Question. In a number of accounts you are requesting the restoration of positions abolished in last year's act. What is the total number of such positions and the total cost of their restoration?

Answer. The following table summarizes these positions.

Restoration of Abolished Positions—9

3—Salaries	\$52,000
5—Capitol Buildings	231,000
1—Library of Congress	51,000
Total—Abolished Positions	334,000

Question. Why should we reverse our position, particularly in view of the President's and the Congressional joint leadership's advocacy of reductions in Legislative Branch staff and funding? Shouldn't we abolish more positions instead of restoring them?

Answer. The growth of Legislative branch staffing has been the subject of much scrutiny, especially during the past year. I would like to address staffing growth within the Architect's office, and offer some insights into the nature of and need for additional staff resources.

Over the past ten years, total staff for the Architect of the Capitol, including the Botanic Garden, funded annually in the Legislative Branch Appropriation Act, has had a net decrease of one position, from 2,061 positions in 1983 to 2,060 in 1993. That decrease of one position since 1983 to date is comprised of 65 new and redi-

rected positions offset by reductions of 66 positions which were abolished, redirected within the Architect's office, or transferred to other agencies within the Legislative Branch.

Based on position categories provided by the Office of Personnel Management (OPM), the 65 new and redirected AOC positions are detailed as follows:

NEW AND REDIRECTED POSITIONS 1983-1993

Category	Positions	Percent
Wage Board/Ungr	46	70
Clerical	5	8
Professional	7	11
Administrative	7	11
Total	65	100
Positions abolished or redirected	-66	
Net	-1	

Of the total number (66) of positions either abolished, redirected or transferred, 23 were elevator operators and 18 were garage attendants. The remaining 25 positions represented various functions within the Architect's Office that because of the staffing reductions have suffered in terms of effective work production. What this means, Mr. Chairman, is that since 1983, my office has lost 25 productive permanent positions that were dedicated to building and grounds care, maintenance, and operations.

I would like to put these staff losses into perspective. Since 1983, an additional 1,544,636 square feet of space, or a 13 percent increase, has been added to the Capitol complex, as well as 7.2 acres of grounds. All of these additional areas require ongoing care, maintenance and operational resources, as well as management oversight to ensure that those functions are carried out properly and efficiently. It should be noted as well, that in addition to increased building areas to maintain, repair and modify, many new functions are being accomplished with minimal permanent staff increases. Examples of these include electronic systems for security, fire and life safety and energy management, waste recycling, telecommunications management, hazardous materials management and disposal, lease management, energy efficient lighting, and the like. Many of these needs have been met by hiring temporary personnel to accomplish the necessary work load.

The decrease in positions since 1983 to date is due to several factors. It indicates the restrictive financial environment in which the Architect's Office and the entire Legislative Branch has had to operate during recent years under the provisions of the Balanced Budget and Emergency Deficit Control Act. The Committee has allowed some necessary increases to the workforce of the Architect, despite dwindling available resources. Additionally, recognizing national economic constraints, the Architect is continually scrutinizing the components of the workforce to determine the best use of available resources. This is an evolving process subject to continual review and one which the Committee has endorsed over past years.

Over a broader time period, from 1971 through 1992, the Architect of the Capitol realized a net increase of 480 positions or 30 percent from 1,580 positions in 1971 to 2,060 in 1993. A comparison of employees per square foot indicates that in 1971 there was an average of 1.9 employees per 10,000 square feet of building space. In 1993, there is an average of 1.6 employees per 10,000 square feet of building space, based on 12,639,195 square feet, excluding the new Thurgood Marshall Federal Judiciary Building which will be operated under contract. If the Marshall Building is included (since all lease management decisions require AOC administrative involvement), the average is further reduced to 1.5 employees per 10,000 square feet.

A review of the staffing increases indicates that the vast majority of additional staffing perform actual maintenance or technical support to these activities, rather than additional administrative or professional duties. It is clear from this analysis that administrative and other professional duties have been absorbed primarily by existing staff, and are not being provided for by new positions.

This is borne out by an internal analysis based on functional area and responsibility. The staff in the AOC who are considered to be "administrative" in nature based on their supervisory and policy responsibilities comprise only 1.4 percent of the overall permanent staffing of the organization. These calculations do not include the

administration of temporary positions and their functions, which range from 100–400 additional staff.

Based on information provided by the Office of Personnel Management (OPM), the government-wide average percentage for GS schedule administrative staff compared to the total workforce is 6.8 percent. Using the OPM categories, a similar analysis with AOC staffing leads to a comparative figure of 4.6 percent, or a 26 percent lower average. A brief summary of these averages is indicated below.

[In percent]

Category	OPM	AOC
Administrative	6.8	4.6
Professional	6.5	3.3
Technical	2.3	1.5
Clerical	16.1	4.2

Further, if the comparisons of these areas are made with the government offices located within the Washington area, the percentage differences are even greater. For example, the percentage of “administrative” positions in the Washington area is 12.4 percent, compared to 6.8 percent government-wide, and to 4.6 percent within the AOC.

I have requested additional new positions in the fiscal year 1994 budget, as well as restoration of some of the positions that were abolished in fiscal year 1993. Most of these new positions are related directly to maintenance. This minimal increase is, in my judgment, evidence of an economical and efficient operation; since the cost of personal services generally constitutes approximately 63 percent of our annual maintenance appropriations, efficiencies in that regard are directly reflected in lower expenditures.

I have a listing of the new functions, as well as increased building areas to maintain, repair and modify, which are being accomplished with minimal staff increases. A summary of these functions and areas includes:

Additional AOC Functions and Space 1983–1993

Additional or Expanded Functions:

- Waste Recycling
- Energy Management and Control
- Occupational Safety
- Disposal of Hazardous Materials
- Asbestos Abatement
- Bicentennial Commission
- Capitol Historic Preservation Commission
- Telecommunications
- Energy Efficient Lighting
- Fire Protection Engineering
- Information Resources Management
- Electronics Security
- Lease Management
- American with Disabilities Act

Space Acquired or in Progress:

501 First Street	32,773
Hart Senate Office Building	1,020,000
St. Cecilia's	40,412
West Front Courtyard Infills	16,400
“Star” Warehouse	44,860
1430 South Capitol Street Warehouse	72,287
Postal Square	141,858
Botanic Garden Growing Facility	167,084
42 Eye Street, S.E.	4,930
Senate Child Care Center	4,032

Total Space Acquired 1,544,636

Grounds Acquired: 7.2 acres of grounds, streets and sidewalks.

I would like to observe that total Legislative Branch staffing has increased from an estimated 28,690 positions in fiscal year 1983 to 31,232 positions in fiscal year

1993. This is nearly a nine percent increase over that time period. In that same time, AOC staffing has decreased.

In conclusion, I urge the Committee to carefully assess our request for new positions, and consider that we have managed to keep pace with work load demand without increases to permanent staff. I do not bring these requests lightly, and am aware of the pressures on the Congress to cut back programs and staff. However, if the Committee directs that I reduce my staffing further, then I will have little alternative but to examine reduced levels of service, and even possible service elimination. I would seek, of course, the Committee's guidance in determining appropriate service reductions. But I cannot provide proper care and maintenance to 13 percent more space than we managed ten years ago with the same staff, nor can I effectively carry out the many new functions and programs assigned to the Architect's office without additional staff.

THURGOOD MARSHALL FEDERAL JUDICIARY BUILDING

Question. You are requesting \$885,000 to lease space in the Federal Judiciary Building and house AOC personnel that will be moving from space in House Office Building Annex #2. An additional \$475,000 is requested to pay the appropriate share of the operation and maintenance costs for the Judiciary Building. I know we just granted the Architect this leasing authority in the fiscal year 1993 act, but we are under the gun to make reductions and this seems a good place to start. Why should we pay these additional costs when AOC staff could remain in HOBA #2? Of the \$475,000 for operation and maintenance costs \$5,000 "is required for the Architect's contribution toward the operation of the building's health care unit, and \$10,000 is required as a one-time payment for the day care center." Is the health care unit an exercise facility or a first aid station? Is the \$5,000 a one-time payment or an annual contribution, and if annual, is it subject to increase? What is the contribution level of the other tenants of the building? What specifically does the contribution support? To what purpose is the \$10,000 for the day care center applied? Who is eligible to enroll their children in the center?

Answer. The move is based on an agreement signed by the House and Senate leadership, in which the Senate leases space in Postal Square for its needs, and the AOC leases space in the Thurgood Marshall Federal Judiciary Building (TMFJB), thus freeing up space in the House Office Buildings for House needs.

The need for the health care unit costs is the estimated pro rata share for AOC occupancy within the TMFJB.

Nearly all federal government buildings have some sort of health care unit within the building. The unit is provided to assist building staff and visitors in minor medical emergencies, and also to assist in other emergencies until proper emergency medical services are available. In the TMFJB, the health care unit will be provided by the Public Health Service on a reimbursable basis. This will be the only convenient health care unit available to employees.

The AOC will be required to pay its pro rata share annually of the health care unit costs as part of its occupancy agreement.

With respect to the day care center costs, all occupants of the building have been "assessed" their fair share of start up costs based on the number of employees. The authority for these payments is based on an Interagency Agreement citing 40 U.S.C. 490b. These are start up costs that do not continue past the first three years. The total AOC assessment is \$21,010 over the three year period. Such start-up cost defray certain per-opening personnel, insurance and construction pending the receipt of revenue from operations. Children of personnel in the building have first priority for admission, followed by children of other employees of the federal government, followed by children of parents from the general public (if needed for revenue reasons).

An amount of \$5,000 is included in the fiscal year 1994 request for the pro rata share of the health care unit costs, and \$10,000 is included as a one time payment for the day care center costs.

The authority for the day care center payments is based on an Interagency Agreement citing 40 U.S.C. 490b. The U.S. Public Health Service, a government entity, will be providing the health care unit services on a reimbursable basis and is subject to increases based on costs. The health care services available to AOC employees are in House or Senate Office Buildings. AOC employees located in the Thurgood Marshall Federal Judiciary Building are geographically separated from the available facilities and could not be expected, particularly in emergencies, to utilize them.

SENATE OFFICE BUILDINGS—LEASE OF POSTAL SQUARE

Question. An increase of \$1,550,000 from \$6,000,000 to \$7,550,000 is requested to lease 150,000 square feet of space in Postal Square for various Senate operation. How does the cost of leasing space for Senate Computer Center operations compare to the cost of leasing the space formerly used at 400 North Capitol?

Answer. According to information provided by the Senate Sergeant at Arms, the per square foot cost of the space at 400 North Capitol Street was \$19.24 for fiscal year 1992. The per square foot cost for space leased at Postal Square for fiscal year 1992 was based on an office rate of \$38.80 per square foot.

SENATE OFFICE BUILDINGS—RENOVATE COMMITTEE HEARING ROOMS

Question. Update the Committee on the status of this ongoing project—the completed work, work to be completed in fiscal year 1993, and work planned for fiscal year 1994.

Answer. The following information is provided for the record.

A total of \$953,000 was provided in fiscal year 1991 for the renovation of three committee hearing rooms SD-106, SD-G50 and SD-192. In fiscal year 1992, \$846,000 was provided to renovate three committee hearing rooms SD-430, SD-366 and SD-226.

Four hearing rooms have been approved for renovation by the Senate Committee on Rules and Administration during fiscal year 1993: SD-406, Environment and Public Works; SD-538, Banking; SD-215, Finance; and SD-419, Foreign Relations.

Until the Senate Committee on Rules and Administration approves hearing rooms for renovation during fiscal year 1994, we cannot project which specific rooms will be renovated. Funding is included in the budget base to renovate four hearing rooms.

SENATE OFFICE BUILDINGS—LIBRARY RELOCATION

Question. Your request to relocate the Senate Library offices and collections from their present locations in the Capitol and other facilities is \$5,000,000. Will that suffice to fully fund the move and the various improvements that need to be made to the space to be occupied?

Answer. Funds in the amount of \$500,000 were appropriated during fiscal year 1993 for the design of the Library's relocation. Based on the preliminary estimate, the \$5,000,000 requested will be sufficient to fund the move and improvements.

Question. If the funds are appropriated for fiscal year 1994, when will the move occur and when will it be completed?

Answer. At this time no firm schedule has been developed. The work could proceed once funding was available. The move would have to occur at a time when it would not disrupt service to the Senate.

Question. Have you any knowledge of plans for the space to be vacated by the Library?

Answer. Assignment for the vacated space falls under the jurisdiction of the Senate Committee on Rules and Administration.

SENATE OFFICE BUILDINGS—"VERTICAL TRANSPORTATION"

Question. Last year the subcommittee agreed to your request for \$300,000 to construct a stairway from the ground floor to the basement of the Dirksen Building. Your request was made as a part of a larger project to address the "critical vertical transportation needs" of the Senate office buildings. Given the critical nature of this stairway project, when can we expect its completion?

Answer. The design of a new stairway from the Ground Floor to the Basement in the Dirksen Senate Office Building is currently in progress. The proposal is to remove all existing fixtures in the Pantry located next to the former Senate Dining Room and to reconfigure the space to accommodate a new stairway and additional offices that serve the Catering and Kitchen functions. The new stairway will allow direct access to the Basement eating areas and thereby relieve the load on the elevators located on the NW and SW corners of the building. The project should be completed by January 1994.

SENATE OFFICE BUILDINGS—EMERGENCY POWER GENERATION

Question. Your request for the House Office Buildings account includes \$580,000 for an emergency power generator for the Longworth House Office Building. What provisions have been made for similar emergency capacity in the Senate Office Buildings?

Answer. At the present time, there is an emergency generator located in the Dirksen Building that is capable of handling the Dirksen and Russell Building life safety operations and elevators. An emergency generator in the Hart Building is capable of handling the elevators and life safety operations in that building. There is also a small emergency generator located in the Police Headquarter building which is capable of handling life safety operations, the elevators, and Police radio system.

CAPITOL POWER PLANT

Question. Are all Capitol power plant operations and emissions in full compliance with all local and federal environmental laws and regulations?

Answer. The power plant operations are monitored carefully, and are in compliance with all local and federal environmental laws applicable to it.

CAPITOL BUILDINGS

Question. The floor tile on the second floor corridor in the Senate wing of the Capitol was removed last year and replaced with temporary plywood flooring. What prompted the removal of the tile and why is its replacement taking so long?

Answer. The worn and cupped Minton tile presented aesthetic and safety concerns in the Capitol Building. Installed during the construction of the House and Senate wings during the 1860's, the Minton tile had deteriorated from over one hundred years of foot traffic, especially in heavily travelled areas. The decorative pattern had worn off many tiles, creating an unsightly appearance. Additionally, some of them had been worn so heavily that they were cupped, presenting an uneven and hazardous walking surface.

The replacement is being undertaken in phases. Initially, the entire floor areas were photographed. From these photographs, replacement zones were selected, and the tile patterns in these zones were provided to the manufacturer for replication. The manufacturer would then attempt to accurately duplicate the patterns and colors to ensure that when the new replacement tiles were set next to 100-year old tiles, there was little discernible difference. If there was a noticeable difference, then the manufacture would have to adjust the manufacturing process to change the results. Each zone has been approached in this manner, which is time consuming, but the results have been excellent in terms of quality control.

Once acceptable tiles for a zone were on hand, the next step was the removal and replacement of the old tiles. The removal process has to be undertaken carefully to avoid damaging tiles that are to remain in place, and it takes a long time to accomplish. Finally, the new tiles have to be set in place precisely to assure a perfect match with the surrounding tiles. As all this work is taking place in corridors where heavy foot traffic occurs, most of the work is performed either at night or during recess periods.

Question. When will the temporary flooring be removed and the tile replaced?

Answer. Tiles for the particular floor area (2nd floor Senate wing connector) are to be shipped from England in late March; installation should be completed by mid-June if not earlier.

SUBCOMMITTEE RECESS

Senator REID. Hearing no further questions, this subcommittee stands in recess until tomorrow, 10 a.m., where we will discuss the Library of Congress and the Government Printing Office.

[Whereupon, at 11:35 a.m., Wednesday, February 24, the subcommittee was recessed, to reconvene at 10 a.m., Thursday, February 25.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1994

THURSDAY, FEBRUARY 25, 1993

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 10 a.m., in room SD-116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.

Present: Senators Reid, Murray, Mack, and Burns.

LIBRARY OF CONGRESS

STATEMENT OF JAMES H. BILLINGTON, LIBRARIAN OF CONGRESS

ACCOMPANIED BY:

DANIEL P. MULHOLLAN, ACTING DEPUTY LIBRARIAN OF CONGRESS

JOHN O. HEMPERLEY, BUDGET OFFICER

BUDGET REQUEST

Senator REID. The subcommittee will come to order. This morning we are in our third day of hearings regarding the legislative branch appropriations. This morning we are going to consider the budget requests of the Library of Congress and the Government Printing Office. We are going to begin this morning with the Library. With us today is the Librarian of Congress, Dr. James Billington.

The Library is requesting a total of \$340 million, including offsetting collections of \$24.4 million, and 4,829 positions for next year. This figure represents an increase of about \$30 million, or 9.6 percent, and 106 new positions over the amounts available for fiscal year 1993.

Senator Mack, did you have a statement?

Senator MACK. No; go right ahead.

PREPARED STATEMENT

Senator REID. Dr. Billington, the committee would like to welcome you and your colleagues. We have your prepared remarks, which will be made a part of the record.

[The statement follows:]

STATEMENT OF JAMES H. BILLINGTON

Mr. Chairman and Members of the Subcommittee: I appreciate the opportunity to appear here to discuss the Library of Congress budget request for fiscal year 1994.

For fiscal 1994, we are requesting only those funds necessary to maintain core services and to address fundamental long-deferred infrastructure requirements. These funds enable us to make the contributions that only this Library can make to the Congress and the American people. The request totals \$364.4 million, including authority to obligate \$24.4 million in receipts, for a net of \$340 million. It represents a total budget increase of \$30 million, or nine percent, over fiscal 1993. Of the \$30 million, 71 percent (or \$21.4 million) is required simply to fund mandatory pay and price level increases. If the President's proposed salary freeze is approved, the Library's budget request would be cut by one-third (or \$9.6 million).

This proposed budget supports the Library's new seven-year strategic plan. Considering the nation's needs and the Library's strengths, the Library of Congress has developed a strategy for overcoming the backlog of uncataloged materials, strengthening current core services, and improving in-house efficiency while preparing for the dissemination of the Library's key collections to the Congress and the nation electronically through new networks and joint ventures.

The Library of Congress Strategic Plan (1993-2000) that was submitted last month (accompanying charts summarize its major elements) prepares the Library for its role of service to the Congress and the nation in the 21st century. The plan's first phase (1993-1996) gives top priority to the existing core library services by reducing arrearages and securing the collections while improving human resources management and financial management. These are the top budget priorities for fiscal year 1994.

We will not be able to maximize use of the Library's unique collections and staff to support the Congress, the nation's libraries, and American education and economic performance if the basic infrastructure of the institution cannot be secured during the first phase of our strategic plan.

In order to operate within the fiscal 1993 budget and make sure that every appropriated dollar is effectively spent, the Library is streamlining existing services and has initiated a Library-wide review by the Inspector General to seek additional economies. Already this year, a cut of 128 authorized positions and the absorption of most mandatory pay and price level increases have resulted in significant cutbacks, such as:

- Reducing reading room hours during low-use periods (including Sunday service during the summer months) and reducing or shifting some police services.
- Suspending selected publications (including the CRS Review and Major Legislation of the Congress (MLC)) and reducing by 50 percent the size of CRS InfoPacks and the quarterly Guide to CRS Products.
- Reducing by 32,000 the number of books, periodicals, and other library materials purchased for the collections, and delaying the acquisition of nearly 300 CD-ROM products needed for research.
- Reducing the number of public tours and public telephone reference inquiries that we can accommodate.
- Delaying the upgrading or replacement of outdated automated systems for the Library as a whole and of aging machines that provide free reading services for the blind and physically handicapped in particular.
- Eliminating educational outreach programs on major exhibitions such as Presidential Inaugurations and the Vatican Library.

The Library must increase its budget in fiscal 1994 to prevent further erosion of important services. Of the requested \$30 million increase, \$21.4 million or 71 percent is required simply to fund mandatory pay and price level increases. A new mandatory increase for locality pay will by itself require an estimated outlay of \$5.2 million. The Library does not control these increased expenses. If additional funds are not appropriated to cover them, further reductions in service are inevitable. If approved, the President's proposed salary freeze would cut the Library's requested increase for mandatory pay and price level items by 45 percent or \$9.6 million.

Of the remaining \$8.6 million requested, the largest single item is for collections security to maintain both higher levels of protection and the quality of service in a closed-stack environment. The next largest items address long-deferred needs to improve essential financial and human resources systems.

OVERVIEW OF LIBRARY OF CONGRESS SERVICES

The Library of Congress maintains a collection of nearly 100 million items—many of them irreplaceable—in over 450 languages. This massive information resource serves the country in a variety of ways (illustrated on our map), including:

- Congressional Services.*—The Library provides impartial analytical research and information to the Congress on public policy issues—providing Congress with more than 645,000 products and research responses a year, including custom

responses to 268,000 requests for research and information. The five areas of most intense research support during fiscal 1992 were health insurance; trade; defense policy; Soviet transformation and implications for the United States; and banks, thrift institutions and financial stability. The incomparable collections and multi-lingual staff of the Law Library and of other special collections are also specially accessible to the Congress.

- Cataloging Services.*—The Library supplies bibliographic records and related products to libraries and bibliographic utilities in all 50 states and territories—cataloging that would cost America's libraries in excess of \$360 million annually if they had to do the work themselves.
- Research and Reference Services.*—The Library makes available to scholars and other researchers vast information resources, many of which are unique, covering almost all formats, subjects, and languages—serving every year more than 800,000 readers and responding to more than 1.4 million information requests a year. In addition, the Library provides on-line access to its automated information files (containing more than 30 million records) to Congressional offices, state libraries, and libraries which are cooperative cataloging partners throughout the nation. The Library also annually provides more than 36,000 books and other items to every state in the union via free interlibrary loans.
- Copyright Services.*—The Library's Copyright Office administers U.S. copyright laws and actively promotes international protection of intellectual property created by U.S. citizens—processing more than 650,000 claims for copyright registration and 400,000 requests for information annually.
- Blind and Physically Handicapped Services.*—The Library manages a free national reading program for 750,000 blind and physically handicapped people, circulating more than 21 million items annually (discs, cassettes, and braille) through 147 regional and subregional libraries and multistate centers.
- In addition, the Library of Congress promotes reading and literacy through the 26 state affiliates of the Library's Center for the Book, gives tens of thousands of surplus books and serials each year to needy libraries throughout the nation, manages the nation's leading collection of folk music and folklore and promotes the preservation of folk culture throughout the U. S., and coordinates and administers a cost-effective procurement program for nearly 1,300 other Federal libraries.

Because it is such a unique storehouse of human knowledge, the Library is an increasingly important link for the Congress and the nation to foreign countries, providing at low cost substantial benefits to American libraries, universities, law schools, and other institutions. The Library's international activities (illustrated on our map) include:

- Purchasing materials through six overseas field offices for the Library of Congress and 86 other major American research libraries.
- Training scores of officials from developing and newly democratized countries in international copyright law and the protection of "intellectual property" as a basis for free markets.
- Bringing millions of foreign items to the Library for American researchers in science, technology and other fields.

Perhaps most important of all, the United States Congress, through its Library, has led the world in supporting the new parliaments of former communist countries. In the second year, programs of assistance to Estonia, Latvia, and Lithuania were added to those we already provide to Bulgaria, Hungary, Poland, and the former Czech and Slovak Federal Republic (now the Czech Republic and Slovakia). The Congressional Research Service has coordinated the Library's substantial deliveries of equipment, library resources, and technical assistance and encouraged other organizations to join in helping build these developing parliaments.

Six recent examples show how the Library makes a real difference to the nation and the world:

- (1) The Archivist of post-communist Russia asked the Librarian of Congress to head an advisory group on opening up the archival records of the former USSR and provided the Library with an unprecedented exhibit of heretofore top secret Soviet records;
- (2) The Department of Defense used 500 copies of the Library's latest handbook on Somalia to orient unit leaders of the U.S. military task force now deployed there;
- (3) The Library's preservation scientists analyzed the paper on which the original Indian constitution was printed and advised the Indian Government how to preserve this invaluable document;
- (4) Our Cairo office advised the National Library of Kuwait on how to rebuild that devastated institution;

- (5) The National Library Service for the Blind and Physically Handicapped is leading a cooperative effort to establish an international standard for the production of audio books; and
- (6) Department of State officials turned to the Library's audio preservation experts for advice about preserving Somalia radio broadcasts from 1950 to the present, which constitute that nation's only remaining record of its contemporary history.

ARREARAGES AND COLLECTIONS SERVICES

Since I last appeared before you, the Library has made major progress in reducing its unprocessed arrears. We have completed the second year of our three-year pilot program and are on schedule to meet our targeted reduction of 11.3 million unprocessed items by December of this year.

Success in 1993 depends, however, on the rapid filling of the remaining authorized but vacant arrears jobs. The vacancies exist because uncertainty over the Library's fiscal 1993 budget led to a Library-wide limited hiring freeze last April. Then, as that uncertainty ended, a Federal court opinion in August required us to revise our hiring procedures and forced a de facto employment freeze for all professional and administrative positions. We began the required job analysis process for these positions in mid-February and hope to begin filling these critical vacancies soon. We are filling the technician level positions as fast as possible. But if the budget outlook for fiscal 1994 does not appear likely to support these additional staff people, we may have to seek guidance from the Committee on adjusting the Library's arrears targets.

During the past fiscal year, despite the personnel shortages, our people cut arrears by 5.7 million, and during the first quarter of fiscal 1993 the arrears were reduced by an additional 1.5 million items. The arrears now stand at 32.1 million items, a drop of nearly 20 percent since our arrears reduction program began (the accompanying chart shows our actual and projected progress). We have made fully available to researchers and the Congress such impressive materials as: the U.S. News and World Report collection of 1.2 million photographic negatives from 1952 through 1986; the papers of Thurgood Marshall, Clare Booth Luce, Joseph Alsop, Reinhold Niebuhr, and Byron White; the extensive records of the NAACP; the records of the Leadership Conference on Civil Rights, and the National Council of Jewish Women; more than 32,500 rare broadsides, leaflets, and pamphlets on American history dating from 1527 through 1986; a 4,000 sheet series of topographic maps of Eastern Europe; our entire collection of Japanese children's literature; the papers of important musicians like Edward MacDowell, Arthur Rubinstein, and Henryk Szeryng; an 18,000-item African pamphlet collection; and substantial Arabic and Persian arrears. Much of the work on the latter collections was supported by newly raised private funds.

We are doing even more than the substantial numbers and our chart reveal. The Library is developing, testing, and implementing new approaches to cataloging and arrears reduction. These modernization efforts will not only help us meet the goals of our strategic plan (an 80 percent reduction of the backlog by the year 2000) but will also create models for libraries throughout the nation.

Major steps taken or planned include:

- Establishing whole book cataloging teams that process library materials more rapidly and encourage innovation and cooperation to improve productivity.
- Installing intelligent bibliographic workstations in place of "dumb" terminals to improve cataloger productivity.
- Working with OCLC (On-line Computer Library Center), a bibliographic utility, to obtain records for more than 65,000 commercial sound recordings.
- Using collection-level cataloging to group materials sharing a common topical focus, instead of cataloging each item separately.
- Increasing the use of other libraries' cataloging to avoid duplication of effort and increase timeliness.
- Devising routine, high-speed techniques for processing the Copyright Deposits collection, the largest single collection in the Music Division.
- Processing 125,000 PREMARC records through use of the OCLC database and sophisticated matching algorithms.

The fiscal 1994 budget requests additional funds to continue our crucial efforts to modernize Collections Services including: \$500,000 for updating the Library's incomplete PREMARC file with enhanced bibliographic records purchased from another source rather than continuing the old, expensive manual updating process; \$500,000 for optical scanning of old serials records to permit access through a new automated serials management system; \$350,000 to develop and implement the first

phase of a plan to automate the Library's shelflist and to streamline shelving techniques; and \$593,000 for acquiring machine-readable materials for the collections and for beginning a phased replacement program for items stolen or mutilated.

We are also requesting \$1.1 million to purchase essential conservation supplies for collections processed in the arrears reduction project, to enhance the preservation filming program, and to accelerate the acquisition of microform versions of newsprint and other fragile materials. These preservation dollars will ensure that the Library's vast and often irreplaceable collections are stored in the proper manner and converted to the proper medium so that they will benefit future generations.

COLLECTIONS SECURITY AND CONSTITUENT SERVICES

In response to mounting evidence of thefts and mutilation, we took action to protect the collections by:

- Beginning the implementation of a comprehensive Plan for Enhancing Collections Security.
- Closing the book stacks to all persons except Library staff on official business and, by arrangement, members of Congress and their staffs.
- Installing theft detection gates at all building exits and beginning the installation of anti-theft alarm devices in bound volumes.
- Accelerating the installation of caged enclosures for highest risk materials.
- Beginning the installation of video surveillance cameras.

For fiscal 1994, we seek funds to continue implementing the security plan, primarily to support book service activities in a closed-stack environment, place more anti-theft alarm devices in high-risk volumes, establish a comprehensive reader registration program, and place video surveillance cameras in the remaining high-risk areas. Our ability to sustain regular constituent services has been strained by these new security procedures, and we are requesting \$1,296,000 and 45 positions to handle the new requirements while maintaining an acceptable level of reference and reader services. To support our program for protecting the collections, we are also requesting \$197,000 and six positions for Collections Services; \$116,000 and five positions for the Law Library; \$261,000 for four vacant police positions and cloakroom services; \$169,000 for security equipment; \$10,000 for the Copyright Office; and \$122,000 and four positions for the Congressional Research Service. All of these funds support our program to protect the collections (the accompanying charts present highlights).

We need an additional \$534,000, including funding for the equivalent of 19 positions, to maintain reading room hours at the already reduced level of 68.5 hours per week. As we notified the Congress last year, we reduced reading room hours during periods of low-use beginning January 29. With increased security measures, including closing the stacks, we have experienced a 31 percent increase in the number of items requested in the reading rooms. By reducing hours of service in seven of our 22 labor-intensive reading rooms on Tuesday and Friday evenings and closing on Sundays during the summer, we will be eliminating overtime and police costs and re-allocating 27,000 hours of staff time to handle the increased workload. But further cuts could curtail basic services and change the nature of the Library itself. The additional funding we request is needed if we are to honor our priorities of arrears reduction, collections security, and long-overdue improvement of human resources and financial management without drastically impairing the quality of our service.

HUMAN RESOURCES

One of the Library's chief goals—and one of my personal goals—is to ensure a non-discriminatory work environment for all employees. The United States District Court for the District of Columbia concluded in its August 14, 1992, Memorandum of Opinion that the Library's system for competitively selecting employees for hiring or promotion opportunities during the period 1979 to 1988 was so subjective as to lend itself to discriminatory effects. We are accordingly revamping employment practices to ensure equity at all three stages of the competitive selection process: (1) the posted qualifications stage; (2) the panel stage; and (3) the interview stage.

We plan to reprogram fiscal 1993 funds to bring in temporary consultants in order to train our human resources personnel and selecting officials, conduct specialized analyses, and install an applicant tracking system. For fiscal 1994, to sustain this advance, we are requesting \$473,000 to fund 9 new positions and \$612,000 to fund 12 existing positions so that the Library can have its own specialists devoted to job analysis, monitoring the selection process at every step, doing disparate impact analyses, and preparing employment data for reports, forecasting, and trends analysis.

FINANCIAL MANAGEMENT AND OTHER INFRASTRUCTURE REQUIREMENTS

One of my first acts as Librarian of Congress was to ask that the General Accounting Office (GAO) provide a financial audit of the Library. As a result of this audit, GAO recommended that the Library implement an integrated financial management system. Since this audit was released in August 1991, we have completed detailed plans for implementing this GAO recommendation. We find the purchase and installation of a commercial software package to be the Library's least costly and most beneficial option. We continue to work with GAO in improving our financial management practices and have asked them to participate in the selection of a new system. We are asking for \$1.7 million to purchase and implement a new system that will improve accountability to the Congress, support the appropriations process, enhance staff productivity, eliminate paperwork, and minimize the need to rekey financial data. An integrated financial management system is essential for conducting the type of cost-benefit analyses that the Library needs to find new economies.

To operate and continue to rent an off-Capitol Hill collections storage facility, the Library requests \$898,000 and 14 new positions to select, prepare, and transport 250,000 volumes annually. We appreciate the Congress's support for acquiring critically needed collections storage space, and we are taking steps, in cooperation with the Architect of the Capitol, to use the \$3,186,000 appropriated this year to rent and outfit a facility that will meet our short-term needs. We continue to believe (as stated in the plan we submitted to the Committee last year) that the acquisition of land and construction of buildings is the most economical long-term strategy.

The Library is committed to improving the workstations for staff members who spend at least 50 percent of their time at video display terminals (VDT), and the Library requests \$522,000 to speed up the phased acquisition of appropriate ergonomic furniture and equipment. The additional funds will permit the completion of this project by 1996.

We continue to work with the Architect of the Capitol in making the Library's Special Facilities Center, located at Sixth and East Capitol Streets, available for use. We now anticipate that the Child Care space will be available for use in June 1993. We are asking for \$152,000 to equip this center, so that we can put in place another element of our strategy to improve access to the Library's vast holdings by permitting use of the center's short-term living quarters for visiting scholars as well as its training facilities for our staff and people using the collections.

POLICE MERGER

The Senate Appropriations Committee, in its fiscal year 1993 Committee Report, directed the Library of Congress to initiate action to merge the Library of Congress Police function with the United States Capitol Police. Accordingly, we are in continuing consultations with the general counsels of the Senate Sergeant at Arms, Capitol Police, and the Architect of the Capitol. The draft legislation under deliberation was submitted by the Senate Sergeant at Arms' office. It provides the statutory authority for the merger, with the operational details to be covered in a Memorandum of Understanding.

LIBRARY OF CONGRESS BICENTENNIAL

The Library will mark its 200th anniversary in the year 2000. We propose a seven-year bicentennial project that coordinates a series of exhibitions, publications, conferences, public lectures, demonstration projects, and other celebratory events promoting learning, literacy, and access to the collections. A National Advisory Board, drawn from Congress and the public, will help with planning. We are asking for \$225,000 as the appropriated annual base for this project of which \$206,500 can be reprogrammed from the Columbus Quincentenary project. Most costs of the Library bicentennial will be met by private funds.

COPYRIGHT

For the Copyright Office we are requesting a total increase of \$1,543,000 which is offset by our request to use \$168,000 of increased receipts—for a net increase of \$1,375,000. More than 90 percent of this increase is for mandatory pay and price level increases. Intellectual property continues to be one of the shining stars of our economy. Our computer software, books, music, motion pictures, and television programs are popular all over the world and represent one of our country's critical trade and growth assets. These industries generated \$38 billion in foreign sales in 1990, and they account for almost six percent of our Gross National Product. The Copyright Office helps to raise the level of copyright protection worldwide and fights

to stamp out piracy of American music, motion pictures, and software. Through the effective use of technology and processing improvements, the Copyright Office is able to process a copyright registration claim in an average of 4-6 weeks. The new optical disk storage system—approved by the committee—will further improve the Copyright Office's ability to meet future service demands. During 1993, the Copyright Office will implement the Audio Home Recording Act of 1992, and we are requesting an increase of \$37,400, which is fully funded by receipts, for additional non-personal costs associated with this new law.

CONGRESSIONAL RESEARCH SERVICE

The additional \$4.7 million requested in the Congressional Research Service (CRS) budget is composed of \$4.2 million for mandatory pay increases, \$344,000 for price level changes, and \$121,746 for improving collections access and security, which is part of the Library's overall Plan for Enhancing Collections Security. Because 90 percent of the CRS budget goes for salaries and benefits, funding for the mandates is particularly critical to maintain the capacity to support Congress' analysis and information needs.

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED

Finally, we are asking for an increase of \$3.5 million to continue the Library's free national reading program for the blind and physically handicapped. The increase does not represent any new programs. It permits continued service to over 750,000 people. It includes \$1.8 million for machine replacement of the 30,000 cassette book machines and 25,000 talking book machines that we have identified as being worn beyond repair and in need of replacement over the next five years.

CONCLUSION

We have forged a strategy committed to making more accessible the vast resources assembled by the Congress during 193 years. Our purpose now is to support this dynamic democratic society in an age when new knowledge becomes a key to progress and to prosperity.

A crucial issue facing the Congress regarding its Library is whether to provide national electronic access to its tremendous assets or to relegate the institution to the status of a passive warehouse of materials accessible only to those who can journey to Washington.

The Library of Congress is in a special position to help the nation move ahead in the decades to come. First, it can enrich and foster the pursuit of truth by making our unmatched collections and knowledgeable staff more useful to Congress and the nation. Second, by exploiting new electronic technology, the Library can enormously increase the knowledge available to Americans in local schools, colleges, libraries, and private sector research enterprises from Florida to Alaska. As a signal of our potential for increasing the direct delivery of materials to local users, we sought and received authorization from the Joint Committee on the Library to make the Library's on-line catalog available without charge via the Internet, a national super-highway of many interconnected networks with a major backbone provided by the National Science Foundation's NSFNet. The Library plans to begin providing access to 60 simultaneous Internet users in May.

We believe the future holds the potential for the Library to play a significant role in enriching and upgrading local institutions of learning and research, so that even those Americans far from great universities and the more affluent schools and libraries can still have access to the best of the nation's heritage and the latest in up-to-date information. Technology makes this possible; the Library's strategy envisions bringing an "electronic library" rapidly from concept into initial operation.

To put this strategy in motion, I have recently reorganized our top management and established a Library-wide working group on the electronic library of the future. The group is tasked with planning, preparing, and pilot testing electronic delivery systems for the Library's role in the emerging national and international information networks. The Library is also determining the most appropriate relationships between the Library of Congress and other players in the electronic library arena as well as the production and distribution options for the Library's American Memory project.

A key element in this strategy is our request to expand the Library's services to the Science and Technology communities. One of the chronic problems in our national research and development establishment is the inadequate use of existing studies and inventions in public decision-making and technical work. People keep re-inventing the wheel. This is an information problem, one that the Library of Congress can help to solve. We are proposing two distinct levels of activity to improve

service: (1) placing a technical staff of five in our public reading rooms to instruct patrons in using automated resources for business and science and (2) making the latest information in this rapidly changing field easier to find and use by researchers everywhere, partly through the Library's development of a new Automated Referral Center for science and technical information.

Finally, on February 4, 1993, Senator Pell sponsored S.345, the Library of Congress Fund Act of 1993. It was cosponsored by each Senator on the Joint Committee on the Library—Senators DeConcini, Moynihan, Hatfield, and Stevens, and I am very pleased to have their support. This legislation is essential to the Library's future. It would enable the Library to extend the range of its services to meet new demands from Americans for specialized products and services which go beyond the Library's present and foreseeable tax-supported basic functions.

The Act would allow the Library to provide customized services for researchers, law firms, and others—services which have been frequently requested of the Library but should not be supported by the taxpayer because they go beyond our basic tasks and provide extra services to specific customers.

We need a wider range of funding devices to meet the needs of the institution and of the people we serve—the same range currently available to other major libraries in America.

We have greatly increased philanthropic giving to the Library as evidenced by a 72 percent increase in our trust funds since 1987—from \$11.5 million to \$19.8 million. But this Act is essential if the Library is to realize more of its service potential for the nation—and these new services will create new opportunities and activities for other libraries and economic enterprises. The Act creates a sustaining mechanism that the Library presently lacks: a revolving fund, through which the Library can recover the costs incurred in meeting specialized information needs of the business community and others. This responds to the General Accounting Office's recommendation to establish a revolving fund to handle fee-service activities. These new activities will not be undertaken at the expense of traditional free core services. Because it provides a rational way of making more of the Library's vast resources available to information seekers in government, academia, and private industry, the Fund Act would enable the Library to serve a critical function in making America more competitive in the global marketplace.

I hope that members of this committee will support passage of the Fund Act in this Congress as well as our budget request for fiscal 1994. Both lay the foundation for realizing the potential set forth in the Library's strategic plan.

My colleagues and I will be happy to answer your questions.

ADDITIONAL PREPARED STATEMENTS

Senator REID. I understand Mr. Ross of the Congressional Research Service and Mr. Oman of the Copyright Office have statements, and they would also like to have them inserted into the record.

Is that true?

Dr. BILLINGTON. Yes.

[The statements follow:]

STATEMENT OF JOSEPH E. ROSS

Mr. Chairman and Members of the Subcommittee: I am grateful for the opportunity to present the fiscal 1994 budget request for the Congressional Research Service. We are requesting a total of \$61,942,000, which is an increase of \$4.651 million over fiscal 1993.

More than 97 percent of the increase is for mandatory and price level items, which are needed to maintain our present staff and nonpersonal services. The projected 1994 pay raise and locality pay costs represent almost 50 percent of these increases; therefore, if the President's proposed salary freeze is approved, our request would be reduced by \$2.262 million.

We are also requesting funds for four positions to assure continued rapid access to the Library's collections for CRS and congressional staff while assuring security for the Library's collections.

Funding for mandatory costs is critically needed to avoid an impending decline in CRS capacity to provide Congress with timely and high quality analysis and information. Because ninety percent of the CRS budget is salaries and compensation,

the failure to obtain funds for mandatory increases inevitably erodes our research and reference capacity and services.

Beginning in fiscal 1992 and continuing through this year, we have already experienced a significant downsizing. In addition to the 29 permanent positions which were eliminated with the fiscal 1993 budget, we have been forced to leave vacant an additional 77 positions. Taken together, this represents an 11.7 percent decrease in research and information staffing. Our ability to support Congress on a number of critical issues, such as health care reform and financing, and foreign policy and defense budget analysis, is threatened by the inability to replace lost staff.

We have also struggled to maintain the capacity to answer a daily average of 1,000 telephone calls and 100 faxed requests to the Inquiry Section, and to deliver rapid responses to the Congress. We now provide two messenger deliveries per day to congressional offices; through reassignments, we will increase this to three deliveries in early March; to put this in context, in fiscal 1985 we provided seven deliveries per day, which has steadily decreased to the current level. We have had to rotate staff from other activities to maintain even these minimal capacities in our inquiry receipt and delivery functions. This, of course, further weakens research and reference support throughout the service.

During this year we have also had to reduce some services in order to maintain our current staff without furloughs or RIF's. Some of the actions we have taken are to suspend publication of the CRS Review and of the Major Legislation of the Congress (MLC), eliminate the printed version of the Digest of Public General Bills and Resolutions in favor of a more useful but less costly CD-ROM format, reduce the number of items included in the quarterly Guide to CRS Products, and reduce the number of issues of the CRS Update from 12 to 10 per year. We have also had to cease purchase of the Congressional Record Abstract database, formerly accessible to congressional and CRS staff through the Library's SCORPIO system. Additionally, we have reduced the size of the average InfoPack by 50 percent, we have placed greater emphasis on producing short analytic reports, and have had to establish some limits on the number of copies of CRS products and other materials provided to requesters.

We have been successful in minimizing the effect on Congress thus far because of our ongoing strategic planning and management effort, and because we have maintained a balance between staff and the nonpersonal resources which make that staff effective. For the past four years we have continually examined what we are doing and the way we work, and have placed particular emphasis on using appropriate information technology to help us become more productive and efficient. We have modified many of our products to assure that we have the right mix of analytic and reference materials to meet your needs. We have sought to do everything possible to shorten the amount of time it takes to acquire information, and to prepare, duplicate and deliver our analyses and reports to the Congress.

The evidence of our success is our ability to meet increased demand without a commensurate increase in staff or costs. During fiscal 1992, CRS' workload increased 7.2 percent to a record 645,000 total completed requests and service transactions. This included custom responses to 286,000 requests for information, reference and research. More than 90 percent were completed in one week or less, and almost 70 percent were completed the same day they were received.

In order to continue such support for the Congress and to remain a flexible organization able to respond effectively and quickly to Congress' policy and legislative needs, we must be able to make at least minimal investments in training and professional development, and to provide the reduced number of staff with appropriate information tools such as databases, equipment and software to make them more efficient. During fiscal 1993 we have had to freeze temporarily many of these nonpersonal expenditures which enhance our staff's effectiveness. For the first time in memory, we have had to eliminate information sources which help CRS maintain a rapid response capability. This year we were able to limit reductions to those materials with alternate, though not as rapid or effective, paths to obtain the information. If these nonpersonal freezes continue, we will be required to further reduce staff and other resources which will render us unable to answer some congressional requests in any reasonable timeframe, and others at all.

During the past year CRS continued to act as the Library's agent in providing support for the Speaker's Special Task Force on Developing Parliamentary Institutions in Eastern Europe—the Frost Task Force. In fiscal 1992 we continued to provide technical assistance, equipment and library materials to four East European parliaments (Bulgaria, Czechoslovakia, Hungary and Poland) and to the three Baltic Nations. The Task Force is now preparing to provide assistance to Albania. These activities are supported by AID funds to ensure that our ongoing services to Congress are not adversely affected. Moreover, our contact with these parliaments has

enabled us to gather much more timely information for Congress on developments in this important region of the world.

In summary, I greatly appreciate the support this committee has provided CRS in the past. We believe we have returned your confidence in us by managing our resources well, as evidenced by the fact that we have been able to absorb an increasing workload without a commensurate increase in staff and other resources over a period of years. We have been successful in the past because we have maintained a proper balance between staff and the resources that make them effective—training and development, and use of the most appropriate information technologies. While I recognize that the Congress is facing severe budget constraints, I hope the committee will be able to provide funds for the mandatory increases in fiscal 1994 so that we will not become an organization with steadily decreasing capacity to meet your needs. I will be happy to answer any questions you may have.

STATEMENT OF RALPH OMAN

Mr. Chairman and members of the Committee, I appreciate the opportunity to be here today. We are requesting a total of \$27,771,000 for fiscal year 1994. We will meet \$16,885,000 of this request from fees and royalties, leaving a net request for appropriated funds of \$10,886,000, which is an increase of \$1,375,000 over fiscal year 1993. Of this increase, \$1,204,900 is for mandatory increases in personnel costs and the remaining amount is for non-personal services. If the President's proposed salary freeze is approved, the requested increase would be reduced by \$871,600. As you can see, we are requesting a flat budget with only increases to cover inflationary adjustments.

I want to thank the Committee for its decision last year to allow the Copyright Office to reprogram \$756,000 to make the final payment on our optical disk system. We have made great progress on all fronts in preparing for the installation of the system. The Architect of the Capitol has completely restructured the work-site; we have installed ergonomic workstations; and we are working closely with the contractor to implement the system within a few weeks. Once operational, the system will replace our enormous files of paper records and our manual numbering process with a digital image storage and retrieval system. We will then have automated the last labor-intensive procedure in our assembly line, and the Office will be able to handle the increased workload anticipated in the next decade without proportional increases in staff and space.

The workload continues heavy, but, thanks to the excellent performance of the Copyright staff, we had another good year in productivity—we've kept the average pendency below six weeks. We processed 635,000 claims for copyright registration, including 20,000 computer programs and 1,000 microchips. With over half the claims in microchips coming from U.S. manufacturers, the United States has once more gained the lead in this arena.

We have one big success story to report—the Cataloging Division cut its backlog by more than half from a high of 156,000 last year down to 72,000 now. This resulted from a concerted effort by the division to streamline its cataloging rules and put the new rules to good use.

We also responded to requests for copyright information from 32,000 public visitors, 95,000 written inquiries, and 304,000 telephone calls. And we processed over 27,000 statements of account and transferred to the U.S. Treasury approximately \$200 million in cable television royalties.

Through the International Copyright Institute (ICI), the Office continued its training of foreign copyright experts from developing countries. Congress created the ICI to promote stronger protection of America's copyright exports. The U.S. copyright industries annually contribute about \$38 billion in foreign sales to our balance of payments. Since its inception in 1988, the ICI has trained 138 foreign copyright experts from 62 developing countries. I have given the Subcommittee a brief history of the ICI program. We can see a connection between the training and the increase in the level of protection for American films, sound recordings, books, and computer programs in many foreign countries.

In support of this program, I am requesting authority to use \$2,250 of the funding already approved for the ICI for a modest welcoming lunch and farewell dinner, and for a small memento. In recent years the Copyright Office has used money donated by the copyright business community to fund these events. However, I have become increasingly concerned about the perception of a conflict of interest arising from the Office soliciting and accepting funds from these organizations, all of which we have to deal with impartially as part of our regular business and would therefore prefer that we not have to make this bald solicitation, even for so modest an amount of

money. I would be grateful if Congress authorized this small expenditure. Of course, the private sector will continue to fund generously its own social activities in support of the program, and to provide lecturers and educational materials. They see great value in the program.

We are working closely with the new Congress and the new Administration, and expect to provide technical support for our trade negotiators, and copyright advice to the Clinton-Gore team working with the Library and the private sector on the Digital Information Superhighway.

So, thanks to your support, it's been a great year for the Copyright Office.

STATEMENT OF SENATOR CONRAD BURNS

Today constitutes the third day of our hearings relating to spending by the legislative branch of government. Each agency we have heard from thus far has asked for increases in their respective budgets. And each agency has made convincing arguments for their increases while at the same time agreeing that the federal deficit should be brought down. It's the classic case of "Don't tax me, don't tax thee, tax the guy behind the tree."

Well Mr. Chairman the well is dry. There is no money to hand out. The public is demanding a halt to the continuing growth in federal spending. The states are going through the same situation. The big difference for them is that they cannot simply print more money to continue spending.

As a former County Commissioner who worked to balance the books of Montana's largest county, I agree with the public, we cannot go on increasing the size of the Federal government. I was put on this committee to make tough choices and I will do so. We must cut federal spending and it begins here.

Thank you Mr. Chairman.

SUMMARY OF BUDGET REQUEST

Senator REID. If you have a statement, we would like you to proceed, and the subcommittee will then proceed with questions.

Just in passing, we know how well-qualified you are academically, but yesterday we asked the Architect of the Capitol for his background, and we were all impressed. He has a master's degree in electrical engineering, a law degree, MBA, and architectural degree. Not bad, huh? [Laughter.]

Dr. BILLINGTON. No.

Senator BURNS. He asked for yours back.

Senator REID. Would you proceed, Dr. Billington, with your statement. I also see it seems like every year we have this hearing, you make the front page of the paper, as you did again today, if you have read the paper.

Dr. BILLINGTON. Yes, I have.

Senator REID. Please proceed.

Dr. BILLINGTON. Thank you, Mr. Chairman. In the interest of time, I will present a shorter version of the one that I submitted for the record.

For fiscal 1994, we are requesting \$364.4 million, including the authority to obligate \$24.4 million in receipts, which is a net of \$340 million of the total budget increase of \$30 million, or 9 percent over fiscal 1993; 71 percent or \$21.4 million is required simply to fund mandatory pay or price level increases over which we have no control and which we cannot avoid. If the President's proposed salary freeze is approved, the Library's budget request would be cut by one-third, or \$9.6 million.

STRATEGIC PLAN

Phase 1: 1993-1996 Key Elements

Maintain continuity of service to Congress and the nation.

Make collections accessible and secure by:

—Achieving arrearage reduction according to schedule

—Implementing existing security plan

—Testing new preservation techniques.

Modernize the basic operation of the institution, including:

—Ensuring equity in hiring and promotions according to existing plan

—Implementing a modern, financial management system

—Securing off-Capitol Hill storage space.

Plan for the electronic future.

SEVEN-YEAR STRATEGIC PLAN

This proposed budget supports our 7-year strategic plan to prepare the Library for its role of service for the Congress and the Nation in the 21st century. The first phase of this plan is summarized on the chart, which calls for maintaining continuity of service while overcoming the backlog of uncataloged materials, securing the collections, and modernizing our human resources and financial management. These are the absolute basics of any library and the top budget priorities for fiscal year 1994.

The second phase of the strategic plan illustrated in this next chart will build on this solid base and on planning and testing done in phase I, to begin putting in place the electronic Library for the 21st century. In this phase, we will maintain our arrearage reduction schedule, digitize certain core collections, and introduce electronic search and delivery systems to Congress and the rest of the country.

Phase 2: 1997-2000 Key Elements

Enhance service to the Congress and the nation by:

—Maintaining schedule for arrearage reduction and collections security

—Digitizing selected core materials, and creating electronic databases as substitutes for paper versions as appropriate

—Preserving critical collections, according to plan developed in Phase I.

Introduce electronic search and delivery systems tested in Phase I:

—Enhance electronic services to members of Congress, including interactive links with analysts and researchers online searching and delivery of information in multimedia formats

—Working with other institutions, inaugurate new electronic systems to enable the Library to support the future information needs of legislators, scholars, and citizens of this country as part of the emerging international knowledge network.

SERVICES TO THE NATION

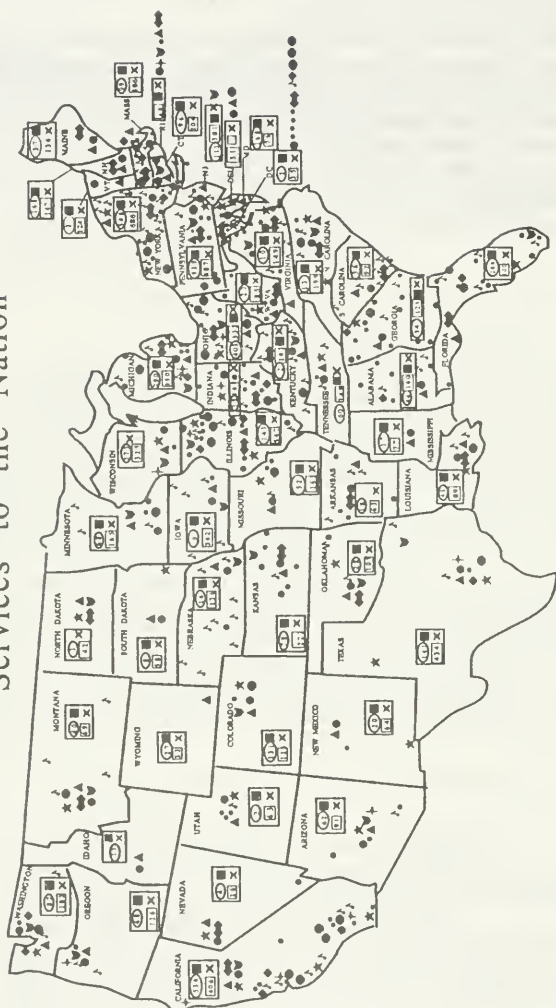
Mr. Chairman, the Library serves the Nation here and abroad in a variety of ways. This chart shows in addition to providing Congress with more than 645,000 products and research responses a year, the Library serves the Nation directly by, for instance, cataloging services to American libraries that would cost them in excess of \$360 million annually, more than our entire appropriation, if they had to do the work themselves; free reader services of 21 million items to more than 750,000 blind and physically handicapped

readers; and free interlibrary loans and surplus book donations to libraries throughout the United States.

This is in addition to serving every year more than 800,000 readers with materials, many of them unique and not available elsewhere and in almost every format, subject, and language, while answering more than 1.4 million inquiries annually as the Nation's information resource of last resort.

All of these services, Mr. Chairman, have substantially increased in the last 10 years or so.

LIBRARY OF CONGRESS
Services to the Nation



- ◆ Research Libraries - Cooperative Cataloging
- Sites for the National Library Service for the Blind and Physically Handicapped (Regional)
- Sites for the National Library Service for the Blind and Physically Handicapped (subregional also includes Guam)
- ✦ Sites for Traveling Exhibits
- ✦ State Centers for the Book
- ✦ American Memory
- ✦ LC Chamber Music Broadcast Series
- ✦ Foreign Acquisitions Program
- ✦ Participants

- On-Line Computer Access Sites (LC Direct)
 Reference Correspondence Agreements
 Academic Research Public Libraries: Exchange of Information
 Interlibrary Loans (also includes Guam)
 Surplus Books Donations (also includes Guam)
 Global Libraries (includes number of cable network cities)
 Cataloging Services to the Nation's Libraries-Savings of \$360

million

LINKS TO THE WORLD

The U.S. Congress through its Library also serves the Nation abroad through overseas activities. For example, this chart, in addition to illustrating the various kinds of exchanges we have which will save the taxpayer many dollars, shows how we serve in special ways by purchasing materials through six overseas offices, not only for the Library but also for 86 other major American research libraries, by training scores of officials in newly democratized countries in international copyright law helping them to protect the intellectual property that accounts for so much of our exports, and by providing assistance to the new parliaments of former communist countries.

We have three overseas areas where the Library has made a special difference to the Nation during this past year. We obtained an unprecedented exhibit of the top secret Soviet archival records. The print records are currently unavailable in Russia but are available electronically because we have put them online free in a mode that is part of our expanding core services, and that involved about 6,000 people in America. The online discussion was the first time in history that a major exhibit has been shared freely with such a broad audience in this way.

But that exhibit is only one example. We also provided a brand new handbook on Somalia that the Department of Defense used to orient more than 500 unit leaders of the United States military task force deployed there. We are currently providing the preservation expertise to help the Indian Government save the original copy of its constitution, which is deteriorating.

I could have mentioned the help our Cairo office is giving to the National Library of Kuwait to reassemble and reform the national library there.

LIBRARY OF CONGRESS LINKS TO THE WORLD



ARREARAGE REDUCTION

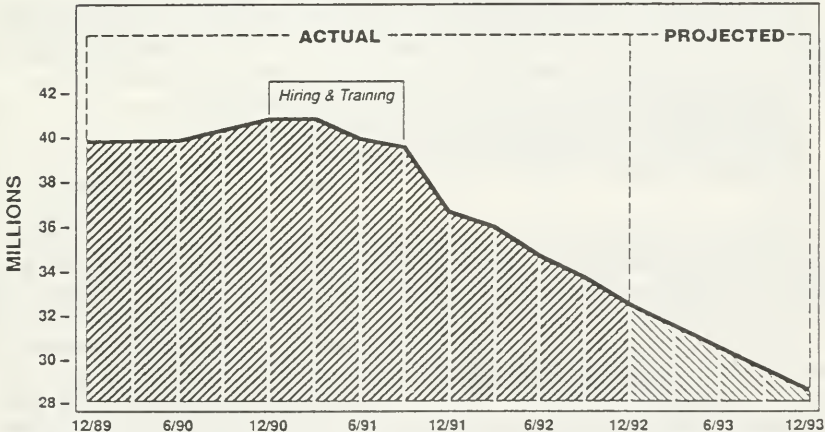
Since I last appeared before you, Mr. Chairman, the Library has made major progress in reducing the unprocessed arrearage. We are especially indebted to this committee and to Congress for support of this project, and we are on target at the end of the second year of our 3-year pilot program, as indicated here.

Senator REID. Dr. Billington, if I can just interrupt and tell the members of the subcommittee—all of whom are new this year—that this has been a major project. Senator Hatfield and I have devoted a lot of time to try to provide the Library with the resources for a program to save, in effect, these vast numbers of documents and papers that have been storing up over the years. And that's what he's talking about now. They were simply just being warehoused and not taken care of, and hopefully, as this chart indicates, that problem has been alleviated.

Dr. BILLINGTON. Yes, sir; our people have cut arrearages down to 32.1 million items, a drop of nearly 20 percent since our arrearage reduction program began.

We are doing even more than the substantial numbers reveal to increase cataloging efficiency, establishing whole book cataloging teams, new bibliographic work stations in place of dumb terminals, and using other libraries' cataloging to avoid duplication.

THE LIBRARY OF CONGRESS ARREARAGE REDUCTION PILOT PROGRAM



COLLECTIONS SECURITY

In response to mounting evidence of theft and mutilations, we have taken action to make sure that our accomplishments in building and organizing the Library's collections are not undercut by inadequate security against criminal acts.

Senator REID. Do we know why this is taking place?

Dr. BILLINGTON. Mr. Chairman, it's a great mystery. I have talked to colleagues in other institutions, but it is a question similar to why is violence increasing.

Senator REID. What do they do?

Dr. BILLINGTON. It is particularly disturbing and distressing. We have succeeded in apprehending and convicting a number of people. They are very seemingly respectable professional people.

Senator REID. What do they do?

Dr. BILLINGTON. Well, I am about to illustrate this for you directly.

MUTILATION OF THE COLLECTIONS

There are all kinds of mutilation, theft, cutting out of prints, maps from books. Let me give you some evidence of this. It became clear this last year that the problem is much more serious than any of us expected. There is extensive damage to more than 200 large old illustrated books, thousands of plates have been stolen, often by people clearly with an expert's eye for value and importance. Three people have recently been convicted.

Let me show you a couple of examples. Two striking German illustrations on the monuments of Egypt and Ethiopia were cut, and in cutting out these illustrations, others beneath them were also cut.

Senator REID. Which ones are you talking about?

Dr. BILLINGTON. Both of those are illustrations.

Another illustration is the remains of a 1939 book on colonial and historic homes of Maryland.

Senator REID. Do they take these out and take them home?

Dr. BILLINGTON. In one case, it was a book dealer in Alexandria who had obviously been taking these out and using them to replace the missing elements that he was selling as part of his trade.

Senator REID. How was he, for example, caught?

Dr. BILLINGTON. He was apprehended by our people.

Senator REID. By taking it out in his coat?

Dr. BILLINGTON. I don't recall. He was apprehended with the goods.

But these illustrations, as I say, are very alarming, and the remaining examples are as well—for instance, we have two 1816 volumes on flowers which a thief hid in a hidden shelf box. None of the 400 hand colored lithographs from this set have been found.

Now, it's not just old valuable books that have been damaged, but recent technical books about subjects like explosives and advanced energy technologies. I have seen entire chapters ripped out. Mutilated books continue to turn up in most parts of the general collection, and all of these damages justify, I believe, the Library's vigorous action to take the steps that I have outlined here.

Adjusting to these new security measures—

Senator REID. Dr. Billington, just a minute so everyone understands this, for example, missing volumes on Bavarian flowers found brutally mutilated in library stacks, estimated replacement value of \$45,000—this is serious business.

ACTIONS TAKEN TO ENHANCE SECURITY

Dr. BILLINGTON. We have outlined for you a number of our steps, but I have to report that there is considerable unhappiness about the need to adopt these strict security measures which specifically annoy some outside researchers and some of our own staff. We are currently negotiating with labor unions about the impact of the security measures.

Senator REID. What is there to negotiate with them?

Dr. BILLINGTON. Well, I don't know. I would defer to Michael in this, Mr. Shelley, who is our project manager on security.

Senator REID. Pardon the interruption, but what is there to negotiate on the security of the Library of Congress with labor unions?

Mr. SHELLEY. There is a concern among the labor unions that our staff members may have certain parts of their career development impaired, that some of their work may slow down because they're having to retrieve the books electronically from the shelves rather than going out to get them themselves.

Senator REID. I'm sorry. You are going to have to start more basically than that.

Mr. SHELLEY. Before we closed the stacks, any individual staff member could walk into the stacks and find the book and bring it out to their area. Since we closed the stacks, we now use an electronic paging system where the staff member sits at a computer terminal and enters an order and an attendant will send the book out on our book conveyor system, and it's delivered to a delivery point where the staff member can still get it.

Senator REID. I'm at a loss as to what labor union unions have to do with that.

Mr. SHELLEY. First of all, they are concerned that their staff members may be slowed down in the course of their normal work, and that that may, in some way, affect the way their performance is evaluated.

They are concerned, I think, also because they would like to see their staff members be able to get into the stacks and browse in the stacks for purposes of their own professional and career development. There is some question as to whether or not that is actually necessary.

Senator REID. OK.

Dr. BILLINGTON. We have a basic obligation to the Congress and posterity to overcome what can be described as the cumulative effect of decades of permissiveness and inadequate security measures as well as the heritage of building design that thwarts rather than facilitates adequate security.

EXPANSION OF COLLECTIONS SECURITY PROGRAM

What we have done so far is only a beginning, and we have requested \$2.17 million to continue and to expand the collection security program in fiscal 1994. The largest component is support for closed stack operations.

Senator REID. Dr. Billington, I would just talk to Senator Mack here, here is a book on propellants and explosives, and they have ripped out that dealing with plastic explosives. That should give us all a little pause.

Dr. BILLINGTON. Exactly.

The largest component of this security request is to support closed stack operations that require additional staff to handle the greatly increased volume of book requests from the reading room, to secure book delivery points and tag books for internal and inventory control, and to activate the antitheft detection gates already in use. The budget request will move us from a mere 180,000 tagged books at present to 1.1 million volumes annually, thereby making this program effective as a real deterrent.

COLLECTIONS SECURITY PROGRAM

Background

- Growing evidence of theft and mutilation of the collections
- Convictions of thieves
- Major actions taken to enhance security
 - Closed book stacks
 - Installed detection gates at building exits
 - Began placing anti-theft devices in bound volumes
 - Began erecting cages around high-risk stack areas
 - Began installing video surveillance cameras

Results

- High-visibility security program:
 - Displays commitment and resolve to protect the collections
 - Provides deterrent against crime
- Informs public and staff
- Frequent theft of popular periodicals has stopped
- Book collection has remained in excellent order
- Not-on-shelf rate has dropped

Fiscal year 1994 Budget Request

- Total request—\$2,170,000
- Major components include:
 - Support of closed-stack operations—\$1,029,000
 - Anti-theft detection devices—\$268,000
 - Reader registration program—\$174,000
 - Video surveillance cameras—\$202,000
 - Police patrols—\$147,000
 - Cloakrooms and lockers—\$134,000

EXPANDED ACCESS TO THE LIBRARY

We have forged the strategy, Mr. Chairman, intended to make accessible for more users the unprecedented 100 million items that the Congress has assembled here over 193 years. More than ever in the current information age, knowledge is the key to progress and prosperity.

We need a relatively small amount of additional funds this year to make the collections secure and accessible and our entire operation better supported in basic areas of financial and human resources management. In this area we have pressing needs that are part of the same kind of deferred maintenance that was involved in the accumulation of 40 million plus arrearages that the committee has been so helpful in helping us to tackle.

We need to secure this base so the Library can play the leadership role it should play in delivering new forms of networking and private/public collaboration that will exploit new electronic tech-

nologies and make the Library's vast resources locally available to all Americans.

As a signal of our commitment to increasing the direct delivery of valuable materials to local users throughout America, we have received approval from the Joint Committee on the Library to make the Library's online catalog available without charge through the Internet—the national superhighway of interconnected networks. This is only one of many expanding free services that the Library provides and rarely gets credit for, or even notice, as part of our continuing service to the Nation. Our services to the Nation really account for about 70 percent of the budget of the Library of Congress. This should be a source of pride and increasing gratification to the Congress itself.

CONCLUSION

Finally, we seek passage in the 103d Congress of the Library of Congress Fund Act, Senate 345, in order to extend the range of our services to meet new demands from Americans for specialized products and services. Most dynamic libraries are already doing this. In effect, these services will bring new readers to use the great resources of the Library, and also allow the Library to provide the kind of customized services that have been requested by researchers, law firms, and others. These services should not be supported by the taxpayer because they go beyond the traditional and continuously expanding free services, and because they provide extra benefits to specific customers.

We need a wider range of funding devices if we are to make full use of the institution's unique opportunities for service. This committee has been very supportive, and I'm proud to say that we have more than quintupled, since I have been the Librarian, our private fundraising. Almost all of these additional funding devices are for service and delivery to the libraries and schools of America. It's not for the exclusive use of the Library of Congress.

And this expanding service message offers a full range of opportunities that need to be explored. I hope that members of this committee will support the passage of the Fund Act in this Congress as well as our budget request for fiscal 1994 so that the Library can move ahead to realize the potential set forth in the Library's strategic plan.

We will be happy, Mr. Chairman, to answer whatever questions you may have.

Senator REID. Dr. Billington, thank you very much.

Also, if the subcommittee would allow me, we have had significant cuts in the legislative branch appropriations during the last several years, but the one entity that has done well during this period of time has been the Library. There have been on the Senate floor impassioned speeches made by a number of Senators about the Library and its function and importance to the country. And I'm sure that will continue.

I do think, however, that we are coming into an area where libraries probably are going to have to share in some of the sacrifice that's been made by some of the other agencies and entities that make up the legislative branch.

IMPACT OF THE FEDERAL FREEZE

As you have indicated, if the Federal freeze goes through right there, I think, as you indicated, a 9.3-percent cut——

Dr. BILLINGTON. \$9.6 million less.

Senator REID. Not in percent, but in dollars.

What would that be, roughly, in the Library, personnelwise? What would that be in percent? Is it near the 4 percent?

Mr. MULHOLLAN. The 4-percent reduction in staff, sir?

Senator REID. What we are saying here is that, if there is a freeze, that will be approximately \$9.3 million in savings; is that right?

Dr. BILLINGTON. \$9.6 million.

Senator REID. What does that translate to in a number of people or percent of your personnel budget?

Dr. BILLINGTON. About a 3-percent reduction, or something like that.

Senator REID. So the mandate that the Senate and House leadership has given us in meeting the President's example is 4 percent over 4 years. So this would certainly be a step in that direction.

ARREARAGES

There are certain areas that I think are important. One is the projects that have already been started on the arrearages. Talk about that a little bit. They are 20 percent less than they were when we started this?

Dr. BILLINGTON. Yes.

Senator REID. In the future, when will we get rid of all of the arrearages?

Dr. BILLINGTON. The plan that I am speaking of will provide more detail with regular reports, Mr. Chairman, but as of December 31, 1992, the arrearages stood at 32,155,000 items, which is a reduction of 19.1 percent to be exact.

Senator REID. They are now 32 million?

Dr. BILLINGTON. 32 million.

Senator REID. What were they when we started?

Dr. BILLINGTON. I don't know. They were over 40 million.

Senator REID. Twenty percent more than this, anyway; is that right?

Dr. BILLINGTON. Exactly.

Now, this plan was designed to have an \$11 plus million reduction by the end of this calendar year, and we are right on target for that. We hope it will be even better than that. Despite the number of unforeseen personnel difficulties, we are making significant progress.

SPECIAL MATERIALS

Most of that arrearage is in the special materials.

Senator REID. What do you mean by that?

Dr. BILLINGTON. By special materials, we mean three kinds of things: the manuscript collection, the music collection, and the prints and photographs collection. In the book areas, it's the rare books.

So, for instance, last year by clearing the U.S. News & World Report archives, the whole rich photographic deposit in that collection is now available to researchers throughout the country.

We have cleared the NAACP papers, for instance, which are among our most heavily used manuscripts. The papers of Thurgood Marshall that we have just acquired are now fully available for research.

This isn't just something that we are doing for some sort of tidy bookkeeping. We are really delivering things that are enormously useful. As we now put our entire bibliographic record free through the Internet, we are still waiting to see somebody report in the newspaper the positive things that tend not to be mentioned.

Senator REID. You're just learning that? [Laughter.]

Dr. BILLINGTON. Our clearing of arrearages doesn't mean that it's merely accessible to people on the very user-friendly new system, which people, incidentally again—as opposed to the statement in the newspaper reports—have always used freely and will continue to use freely here. It means that they will be able to freely gain access to the knowledge of these materials by being available in local libraries and schools around the country.

In clearing these arrearages, we are making materials available—we are expanding the range for school use as well as for scholarly research and private sector use.

Senator REID. Dr. Billington, let me ask you a couple of questions.

ARREARAGE REDUCTION

One, as we are trying to get rid of these arrearages, which started, as I see in my prepared materials here, it started with over 38 million items, and we are now down to 32 million. We keep getting new stuff in. Are we staying ahead?

Dr. BILLINGTON. Yes; I will let Mr. Shelley speak in more detail to that.

Mr. SHELLEY. The important thing is that we are keeping up, and we have reduced the percentage of our total holdings that are in arrearage considerably since we began this project 3 years ago.

Senator REID. From the time we started with 38 million plus, we have been able to reduce it approximately 6 million, and that includes the new stuff we got?

Mr. SHELLEY. Yes, sir, it does.

Senator REID. It speaks well. Also for the members of the committee, I would invite you at some time to take a few hours and have someone in the Library show you around to something that you are interested in. You will be amazed at what we have in that Library. For example, music. We have in that Library actual music composed by Mozart, the original stuff, and signed by Mozart. The photographs are unbelievable. And there may be some that say, "Why do we need them?" Well, this is the only place in the world that we have such a collection for scholars and others that need these materials.

ARREARAGE POSITIONS

Mr. Shelley, if you would just stay there a minute, the committee approved 164 positions to attack the arrearage problem. Are these 164 positions filled and working on the arrearages?

Mr. SHELLEY. I would defer to Mr. Tabb, if I might.

Mr. TABB. We have right now about 110 vacancies, and we expect to fill about 35 more of those either by tomorrow or early next week.

Senator REID. These are 110 of the 164?

Mr. TABB. These are 110 of the Library's 1,186 arrearage positions.

Senator REID. What's the reason for that?

Mr. TABB. One reason is that we started with the hiring freeze last spring, because we weren't entirely clear what our fiscal year 1993 situation was going to be like. About the same time we knew for sure what we were going to have this year, we got the decision in the *Cook* case, which led us to suspend the filling of professional positions until we had revamped our personnel system, which we have now done.

Senator REID. Tell us about the *Cook* case.

Mr. TABB. I will defer to my colleague.

COOK CASE

Mr. PAULS. The lawsuit was brought by African-American employees of the Library of Congress, alleging that the Library's competitive selection procedures were suffused with subjectivity, which tended to lend themselves to discriminatory results. Judge Norma Johnson on August 14, 1993, ruled that, in fact—

Senator REID. 1992.

Mr. PAULS. I'm sorry, 1992—ruled that, in fact, it was so. She did not issue an order for corrective action. The Library on its own has taken steps to revamp its entire competitive selection process by doing a number of creative things: conducting job analysis, conducting disparate impact analysis, issuing directives, et cetera

So the arrearage positions that Mr. Tabb talked about, we were unable to fill the professional and administrative positions, because once we received the court decision, Dr. Billington discontinued on November 24, 1992, the staffing of professional and administrative positions since the competitive selection process itself was found flawed, until such time as we could change the procedures to be more objective.

REVAMPMENT OF THE SELECTION PROCESS

Senator REID. Dr. Billington, you have requested 21 positions so the Library can perform a job analysis and monitor the selection process, et cetera. Is that what this is all about?

Dr. BILLINGTON. Yes, sir; that's what the whole human resources component is.

Senator REID. Why do you need 21 people to do this?

Dr. BILLINGTON. Because it's very demanding and very detailed work.

I should say that this case was the judgment passed on the record up through 1988, so it was some time back, but the problem

is that we have to make sure that no vestiges of these past practices are continued, and, therefore, we had to suspend hiring until we could introduce a number of training elements and a number of new procedural elements to be confident that we were in full conformity with the spirit.

Senator REID. I guess my question would be: Why haven't these functions been performed in the past?

Dr. BILLINGTON. That's a good question. They haven't been performed because they did not have to be. That's all. They weren't performed because I think——

Senator REID. My question is, in this modern day and age, it seems your personnel department or whatever the new word is, human resources or whatever, should have been on top of this.

Dr. BILLINGTON. Well, I think that's a good question. We have to come in compliance now. And more than that, we have to bolster this.

Part of the reason that this work had not been done was because they were clearly understaffed for the kinds of detailed work that a modern system in conformity really requires, so it's partly that.

It is also interrelated with training. The Library probably has one of the lowest training budgets in the U.S. Government for one of the highest and most demanding programs in the Government.

I should say that I reorganized and created the Associate Librarian for Human Resources in the wake of this court finding in order to upgrade the responsibilities and have directly on the management team the human resources component. Mr. Pauls is the Acting Associate Librarian for Human Resources.

So, Mr. Chairman, we have a number of elements we can only describe as deferred maintenance. We lost, as you know, 500 people overall in the course of the eighties. Thanks to this committee, we have partially rectified that. We are still 200 below what we were in 1980.

GAO REPORT

The same is true with our request for financial management. As you know, I initiated the first full financial audit, that I'm aware of, that has ever occurred in the history of the Library, and that produced a strong recommendation from the GAO for a new financial management system.

This is obviously something that could have been taken care of long ago, but I am not concentrating on the past. We are trying to move vigorously forward, and not merely be in conformity with the court order. We want to set up a dynamic new human resources program that will include more effective management in this whole area.

So we simply have a lot of deferred management to deal with as well as a lot of new opportunities for service for overcoming these one-hump definitions of the problem. We defined them in the human resources area and in the financial management area, where we did a special followup study after the GAO report, but they require a slight adjustment in personnel.

PROJECTED ARREARAGES

Senator REID. Before we leave the arrearages, next year at this time, what do you expect to be the number of items in arrearages?

Mr. SHELLEY. 28 million, sir.

Senator REID. I will let Senator Hatfield know about that.

I have a lot of questions to ask, but I don't want to dominate the time.

Senator MACK.

Senator MACK. First of all, I did take your advice, and I went over and spent several hours touring the Library, and while I have spent a number of hours there in the past, this was the first time to be exposed to many of the different activities of the Library. And it was, in fact, a very eye opening experience, and I will say publicly that I appreciate the effort to find from the archives some of the pictures of my grandfather in the early days of major league baseball, and I think they produced, if I'm correct, the first baseball card. I believe that goes back to 1865. That was quite an impressive display.

Senator REID. When was your grandfather born?

Senator MACK. 1863. He obviously wasn't in that picture.

Senator BURNS. But I hear he was in the neighborhood.

Senator REID. That was Cornelius McGillicuddy?

Senator MACK. Yes; again, I was quite impressed with what I saw, with the work that you have been doing, and I did have the opportunity to see the security problems that you are dealing with.

You, Dr. Billington, were about to say how, though, you were surprised by the types of people that are involved in this kind of thing. Will you tell us more about that, the types of people that are apparently involved in this?

Dr. BILLINGTON. Take the three most recent arrests and convictions. One was a book seller in Alexandria. One was an investigative attorney for the General Accounting Office.

Senator MACK. Say that again.

Dr. BILLINGTON. I hate to say it. It was an attorney for the General Accounting Office, a fellow agency of the legislative branch.

Senator REID. What was he after?

Dr. BILLINGTON. Well, I don't know. Manuscript materials.

The third was a very respected physician in nearby Maryland. These are all professional people with great status and so forth. It's a reminder—that you simply cannot go on compiling examples of this without taking some remedial action.

There is very substantial evidence from this type of theft that this is very sophisticated thievery by people who know the value of objects and so forth. We have taken many steps which in my fuller statement, I have described.

The traditional thing that a library does is cage unique collections, and we are doing that. We are caging certain collections. The normal principle is: Anything before 1800 is defined as a rare book.

But the thing about the Library of Congress that is unique is that because of copyright deposit, many of the things we have in the collections are from the 19th century—that's not considered a rare book, but the copies tend to be unique and yet are in the open stacks.

There was incontrovertible evidence at the time we closed the stacks rather suddenly—which was a shock to some people—that there were people who were clipping books for somebody else to rip out, so we had to move very rapidly.

Senator MACK. Kind of an organized effort?

Dr. BILLINGTON. It's hard to know what it was. You can't make generalizations about it. We are not assuming that anybody, least of all our dedicated staff, is involved in this. But you can't assume too much. We have considerable evidence of this kind from the people we have been able to apprehend—due to some very heroic work done by our staff and it is very alarming.

The thievery in our African-American collection has been most devastating. They take things they just want to use, but others seem to have a very targeted form of thievery. So there is a wide spectrum.

Senator MACK. In your comments, you triggered a question that I hadn't thought of before.

Is there any evidence that there is any kind of linkage to people within the Library?

Dr. BILLINGTON. We don't know really who is doing this, except for those who have been apprehended. We do know that there is obviously a fair amount of professionalism, but there is really no hard evidence as to who is involved. These are clearly people who know the value of books, and they know the value of things within the books.

Mike might want to say more about this. We have no clear evidence. It's very difficult. It would take a surveillance test.

Mr. SHELLEY. I think the Librarian has given you a very good overview. We have no way of uncovering evidence of this having happened. Generally we don't know when it happened. It could have happened 10 or 15 years ago. It could have happened yesterday. And the evidence doesn't lend itself to any kind of determination like that, the same way we don't know who is doing that.

So given that, we have to take a generalized approach to say what can we do to reduce the possibilities of crime and to reduce the vulnerabilities of the collection, and that's the way we have been doing it.

LIMITED ACCESS TO THE STACKS

Dr. BILLINGTON. We have to reduce the number of people with physical access to the collections. It's an unhappy criterion, but there is nothing else in the absence of convincing evidence. The major step that has to be taken is the step that most librarians have already taken a long time ago, is to close the stacks to all those who don't have direct business-related reasons to be in there. It's something that I have both as a librarian and as a scholar felt badly about doing. I will share the unhappiness that most of our staff feels and mainly researchers feel, including those who come to you.

The implicit argument in the way we were operating was that a certain level of this was tolerable, but people came to me with the evidence, and I said we cannot tolerate it at all. There was a mentality that tolerated this which was implicit in the rejection of a study which showed this problem many years ago. It was implicit

in the fact that no action was taken at some level and it was viewed as just part of the game. I think this Library, which is a library of last resort for the Nation and much of the world, simply cannot take that attitude. It's painful as it is.

BUDGET REQUEST

Senator MACK. Let me go back to some budget numbers now. The projected increase was roughly \$30 million; \$21 million of it, I believe, driven basically by required action, leaving an increase of somewhere in the neighborhood of \$8.5 to \$9 million.

And as the chairman has indicated, we find ourselves in a position now of almost every department that comes in and talks with us, we are trying to find ways to make reductions in almost every case.

You have laid out not only in your comments today but in our discussions in the past, the strategic plan for the Library, the recognition of the movement into the electronic information age.

IMPACT OF A REDUCTION

How does a reduction in this request affect those overall plans? What would you do? Where would the areas be that you would make adjustments in this budget request to live with a lower number?

Dr. BILLINGTON. Well, these are the essential elements. The strategic plan outlines the priorities for this year and the next couple of years.

We really have a set of tough choices. We have made a number of reductions already. Reductions in reading room hours caused some pain. I have itemized a number of things in my longer statement to fill out the economies that we have tried to make.

We have also conducted studies of areas where there might be some duplication or some possibility of reduction, and there may be some more we could squeeze out.

Last year we were well treated with regard to the overall budget increase of \$1.9 million, but we still had the \$12.5 million for mandatories. We have found in our studies since then that there really are not any deep pockets of excess. We cut the administrative costs, we cut travel and a whole lot of things that cannot be cut much further.

So if one is talking about a cut of some real magnitude, you are talking about probably major reductions in force, and you are talking about eliminating some functions or activities altogether.

You cannot degrade quality. The Library of Congress provides quality services and you can't really defer maintenance. There are some forms of maintenance that can be deferred somewhat, but only at great peril. We are already dealing, as we indicated, in the area of security, in the area of arrearages and human resources—our three top priorities—with a long history of deferred maintenance.

I think we have the answers to these problems, but if we will have to defer other elements, across the board kind of reductions won't work. So we are at the point where if there are major reductions or large amounts of unfunded mandatories, we will have to eliminate something.

REDUCTION OF FOREIGN ACQUISITIONS

I will go over them briefly for you. We could reduce the purchasing of foreign materials but will be doing so at a time when the Library is the only resource. We think we will have things through the fee service legislation that will be useful for the private sector. They want it, but we can reduce that, if necessary.

Senator REID. How much would that save?

Dr. BILLINGTON. It depends. Reducing foreign materials would fundamentally change the nature of the Library of Congress. This has been since Thomas Jefferson's time a universal library.

By degrading our foreign acquisitions budget which is only about \$8 million or so we are ruling out one of the great uses and one of the greater potential uses. These materials assist the entire Government in the international market and help build our productive competitiveness.

When we went to Panama, the State Department was looking for anyone who knew anything about the Panamanian law. Our law library became a critical resource. If we cut this off, cut off the current purchasing it simply changes the nature of what the Library of Congress can offer. We have a study underway to try to streamline overseas acquisition, but if we were to make categorical cuts under budget pressure—we can do it, but—it ceases to be the universal library that it was ever since it acquired Jefferson's collections.

We can reevaluate the arrearage reduction goals. We can compromise and give that up, although we are doing so well and the committee has been so enlightened in this area that it would be a shame not to continue.

We can further reduce reading room hours denying access to thousands of scholars—800,000 people a year. We are going to, in any event, do some consolidation of our reading rooms.

We have a number of things underway to save some money, but when we are talking about a major cut, we are spreading it out over the institution.

We can reduce the capacity to provide centralized research and information services to the Congress. I don't think anyone wants to do that, so we don't take that very seriously.

We can reduce the amount of reading materials for the blind and physically handicapped readers and delay the replacement of worn-out machines, but that is one of the most successful and appreciated services nationally.

We can reduce the preservation of deteriorating materials threatening their survival for future generations, but that is not a major budget item right now, so it would not give us dramatic savings. We could increase the time it takes to process copyright claims.

There are no easy answers. So we will, of course, live with and function with whatever the Congress chooses to give us, but I would make the point that we are not defending just traditional things that the Library does. We are supporting the enormous value of education and competitiveness in our country. The developing network offers possibilities, in the new electronic world, for this public institution to make contributions which no other institutions are in a position to make. If we diminish our capacity or di-

lute it—the quality of the catalog and many other things will decline and that would result in a serious degradation of the entire computerized information system in the country.

Senator MACK. Let me stop you, if I could. We aren't attacking you. It is not our intention to harm the Library of Congress. I think I can speak for a great, great majority of the Members of the Senate in appreciating the treasure that we have, that we find ourselves in some very difficult budget situations, and that's why we are pursuing these kinds of questions.

But let me raise one last issue, and at some later date we can talk about different alternatives, a cornerstone in the future plans of the electronic library requires that the Library of Congress be authorized to charge fees for specialized services. These plans have caused some degree of concern among the publishing industry for fear of competition of Government subsidies to the Library of Congress and among the library community, for fear that this will open the floodgate of new costs to libraries around the country.

Why don't you address that. I think there is a story in the Post this morning that dealt with this issue. Why don't you just address that for me. It's kind of an open-ended situation. Respond to the concerns that the people have raised.

THE FUND ACT

Dr. BILLINGTON. Yes; the Fund Act is a small part of the long strategy. The long strategy is to broaden and extend the service function of the Library of Congress to the Nation. Seventy percent of what we do already now serves the Nation directly, and 30 percent directly serves the Congress.

We believe the service capacity of this institution could be greatly extended, and almost all leading libraries are currently providing additional value-added customized services; 550, by the way, is the count.

So the question is: Does the Congress want the Library of Congress to be a dynamic service-extending library. I think most of the library community is doing this themselves and recognizes the value and importance of having a dynamic example in Washington of what libraries can do.

We will not be duplicating what other libraries will do, or what the private sector is already doing. We have had 2 years of dialog with the library communities and the information community on this matter.

EXHIBITS

Consistently missed is the point that we would be expanding and extending services. Much of that we have already done has been done freely, and that has gone largely unnoticed. Our exhibits on the Great Secrets of the Soviet Archives and our Vatican exhibit have been put online electronically. This is the first time anywhere in the world that a major exhibit has been put online so that it can be accessed by thousands of people through Internet and so forth. We are now putting our bibliographic record online.

So we are not merely maintaining our free core services, we are extending them—that is our hope.

Senator REID. If I can interrupt you there, what do you want to charge for? Why would a publishing house object to it? That's the question.

Dr. BILLINGTON. Again, I think you have to distinguish between what the dynamic line people in the industry really think, and we have a large number of distinguished CEO's and others on the Madison Council, which I formed in the process of increasing our private fundraising.

They realize that, far from competing with the private sector, once we add a little value in ways that we know how, from the need to gratify requests that come into us directly from the private sector, we will create new products that will spinoff many more opportunities for them to do more business. It's a classic problem of a jump into a new technology.

Senator REID. I don't understand what you're talking about.

Dr. BILLINGTON. Many people don't understand that when you add value through new technology you are creating many more possibilities for the private sector. When the public sector gets more of the Library of Congress out and makes it more available in many ways—for instance, say what we are talking about is small customized services. This is not a money-making proposition. We are not shifting the burden of sustaining the Library of Congress from the taxpayers as the British Library is doing with its priced services.

Senator REID. Who are you going to charge? I don't understand this.

SERVICE FEES

Dr. BILLINGTON. Let me mention a couple kind of examples—we will charge for research reports or customized research reports for either science and technology or perhaps in the international law area; those are two areas that we are actively looking at.

Senator REID. Tell me how it works now, then.

Dr. BILLINGTON. Well, we do charge now for certain services—and it was quite inaccurate, the headline of this morning's Washington Post article and the lead, saying that the Library of Congress is going to charge for the first time in 193 years. We have been charging libraries since 1902 for the distribution costs of our cataloging data. We have been charging since the 1930's for photoduplication in a more extensive way.

We don't have the modern funding mechanism that the GAO has recommended that we establish. And we perform service activities currently on gift funds or gift revolving fund authority.

We also believe that we need the authorization to explore the possibility of creating some specialized and customized services, which we are not presently doing and we can't presently offer, although we have had requests for these services.

Senator REID. I don't understand. What are you going to charge people? I don't understand. It won't be an admission charge.

Dr. BILLINGTON. Of course not.

Senator REID. Tell us what, then. Let me understand what you are saying.

Dr. BILLINGTON. Let me read you 11 areas.

Senator REID. Just give me an example.

Dr. BILLINGTON. Let's say somebody wants us to prepare a small study on what the Japanese are doing in a particular area of science and technology.

Senator REID. Can they contact the Library and say, "We would like to know this?"

Dr. BILLINGTON. Yes.

Senator REID. Who makes the contact?

Dr. BILLINGTON. Anybody. One of the great points is you get more people using the Library such as a small business person.

Senator REID. He wants this report?

Dr. BILLINGTON. A small company, where the jobs are being generated, needs to get that information and will have a special library service. We are trying to set up a national referral center to tell them where this kind of information is.

Chances are there may be something that we have in our collections and because we have 100 people who read Japanese, we will have the capacity to do a small study on a subject. This is something we cannot presently do. This activity will not diminish the 1.4 million free inquiries of a smaller nature.

Our catalogers have things in their heads that are not exploited by the country. All the country gets from catalogs at the present is expertise in bibliographic records.

Senator REID. Dr. Billington, please answer the question. How are you going to charge somebody? Tell me how and how much.

FUND LEGISLATION

Dr. BILLINGTON. If somebody calls in, we will give them free information about where they can get other information, and we would, if we had the fund legislation, be able to say we can do a study that only we can do for x amount of money, based on a recovery of the costs involved in the production and the distribution of the study.

Senator REID. It will cover the costs?

Dr. BILLINGTON. Cover the costs; exactly. We could do that for you because we would have that authorization under the Fund Act.

Senator REID. Why do publishers object to this?

Dr. BILLINGTON. Not all publishers do.

Senator REID. All I know is what I read in the paper.

Dr. BILLINGTON. That was quite inaccurate. I had lunch with a man from the publishing industry 2 days ago. We had two small points of disagreement, and we are involved in continuous dialog with these people. We resolved one issue at the lunch, and one has yet to be resolved. The one issue yet to be resolved is their request to have added specific language about enforcing copyright, which we think unnecessary, because I am in charge of enforcing the copyright law as it is. It is demeaning to the institution to imply that there has to be some special supplementary language about enforcing the copyright laws.

Senator REID. Dr. Billington, I know Senator Mack is asking the question—

Senator MACK. You are doing quite well.

Senator REID [continuing]. But my concern is this: It appears that these added costs are for new services; right?

Dr. BILLINGTON. Yes.

Senator REID. That's not what we are interested in. We are interested in helping with the costs we have now. We have to figure out a way to allow you to do what you have been doing in the past, and maybe there might be a way to generate some fees from people that are using the good services of the Library of Congress.

That is what I would like you to take a look at: How can we, through the Library of Congress, generate some money to offset some of these tremendous expenses that we have? We want you to continue the deacidification. We want you to continue getting rid of the arrearages. We want you to continue collecting books as we have manuscripts, et cetera. But we are running out of money.

USER FEES

Is there a way that people who are freeloading, for the lack of a better word, to pay a small fee that would help us offset the staggering costs that it takes to run the finest library the world has ever known? Can you look into that for us?

Dr. BILLINGTON. I will look into it, but I don't think that is what this is going to accomplish. What the fund legislation is going to accomplish is the extension of services to the people not now being served. It can perform a function for the Nation that has not been performed. It will help us in education, the economy, and in other areas.

Senator REID. Let's assume that we are not going to be able to extend anything the Library is doing. We are going to be able to maintain. Other agencies and committees of Congress are concerned about being able to do tomorrow what they do today. That's what we want you to look at.

Dr. BILLINGTON. Exactly, but the point of what we are talking about is that we are going to provide these customized services with nonappropriated funds.

Senator REID. You're not getting the message. We want you to look at some of these nonappropriated moneys to do what you're doing now, because we are going to have to cut your budget.

Dr. BILLINGTON. If we are going to do that, that would be a fundamental change in the nature of the Library of Congress. That's the course the British Library has taken with very deleterious effects in its ability to serve and the erosion of its traditional services. I don't think you are going to generate those kinds of funds.

We have received in-kind donations from manufacturers, and have greatly increased philanthropic funding. We will continue to do that.

But none of that—let alone the additional customized services, which are important for the country—will realistically generate the kind of maintenance money for an operation of this kind.

So we will look at it, and will surely examine it. But it would create an absolute fire-storm of reaction as distinguished from the somewhat overinflated reaction we have to the fund legislation—there is a certain objection to our ever charging anything for anybody, and to our ever doing anything that the private sector might conceivably do.

This fund legislation offers a middle position that does not go in the direction of the British Library, that is, to charge user fees to offset services formerly paid by public moneys—but it doesn't go in

the direction of a passive declining and eventually broken-up warehouse, which is the direction we may go if we have to change the basic nature of the Library as a service to the Nation.

Senator BURNS. Would the Senator yield?

Senator REID. It's Senator Mack's time.

Senator MACK. I would be delighted to yield.

Senator BURNS. I'm going to have to go here in a second. I throw this out as an idea.

Dr. Billington, on most points I agree with you, that the Library is a point of great interest to me. I think we should do more things electronically, and that's what's going to cost more money to do, but Congress is going to have to figure out a way to do that for all our agencies.

But just sitting here and listening to you react to this, I get the feeling that you would never make a great salesman. Stay a librarian. [Laughter.]

LIMITING CONGRESSIONAL REQUESTS

Think of it this way: Maybe we have to start looking at limiting the activities of the Congressional Research Service. Maybe each Congressman is going to be limited so you can only have so many requests from CRS.

Would that help you in respect to this, or how might that be implemented?

Dr. BILLINGTON. I don't think it will help the Congress.

Senator BURNS. Say if my office can only have 10 a year. Then I would be more selective in what I request if I wanted to do some stuff.

Mr. ROSS. Senator, that is something that has been thought about before, has been discussed. At the time that the service was expanding back in 1970, there was some consideration of having a charge to offices for the services.

But instead, they decided that it would be better to have a centralized pool for all members to have full use of, instead of expanding their own staff, and they settled on that as a solution. That's something, of course, that the Congress can mandate.

Senator BURNS. I have a question, but I think the way the line of question is going, you consider taking the Senate library in with you all, but I see the way that's going. That's not a very good suggestion. [Laughter.]

So I thank you for the answer on that. That's the way this is going.

I just ask maybe that we would be limited in our usage of that. If we go over the request, then maybe I think we should tailor some of our budgets to help you pay for some of that. That's what I'm saying. There is a certain amount you're going to get free, but if you get carried away and request all these things that maybe some are frivolous—and you're not going to make that judgment, but it would certainly make some priorities on what we wanted to use your service for.

Mr. ROSS. I think that's happening already. We lost 29 positions last year because all of the mandatories were unfunded. We have had necessarily to say to a Member who asked for a large study that perhaps we could do two-thirds of that for you. Perhaps later

we could do the rest. That's happening already, and I'm sure it's going to increase over the next year.

Senator BURNS. I thank the Senator.

Senator REID. Senator Murray.

Senator MURRAY. Thank you. I appreciate that.

Dr. Billington, yesterday this subcommittee heard testimony that moving the Senate library from the Capitol to the Dirksen Building was going to cost \$5 million.

I'm curious whether there is anything that the Senate library provides that your Library does not currently provide to the Senate.

Senator REID. For one thing, the Senate library is open when the Library of Congress is closed.

Dr. BILLINGTON. I will defer to Mr. Ross on this.

Mr. ROSS. The answer, Senator, is the Senate library is available to you, and I know that they do a very excellent job of providing whatever assistance in responding to requests for information that they have had, but it's not on matters to the scale of the kind of service that we provide.

And we consider the library, the Senate library, a client as well, and we provide assistance to the library so they can help you directly.

Senator MURRAY. Thank you.

MINORITIES IN THE LIBRARY

In referring to the *Cook* case that you were talking about, I was wondering what the percentage of minorities is in your administration right now, and what percentage of women do you have.

Mr. PAULS. We have approximately 5,000 employees, approximately 1,800 minority employees. I think we have approximately 51 percent females.

Senator MURRAY. Total employees?

Mr. PAULS. Yes.

Senator MURRAY. How many in administration?

Mr. PAULS. In the top level? I will have to get back to you.

Senator MURRAY. I would be curious to know, for both minorities and women.

Mr. PAULS. The Library has 146 top-level supervisors/managers who are at or above the GS-15. Of those 51 are women; 15 are minority males; and 80 are white males.

ST. CECILIA'S FACILITY

Senator MURRAY. One other question: In your testimony, you talk about a child care space that's going to be available for use in June 1993. Is that for your employees, or is that for the public, or both?

Dr. BILLINGTON. Basically for employees.

Mr. MULHOLLAN. St. Cecilia's facility is first for Library of Congress employees, second for congressional employees, and third for Federal employees, and then the public following that. That's the sequence.

Senator REID. That's one of the big mistakes we made here is buying that facility. We couldn't afford it at the time, and I didn't want to do it, but the House got its way. It's just an added expense.

Senator MURRAY. I'm not looking at it negatively. I think it's great.

Senator REID. We bought a school, is what we bought, or a church. What was it?

Mr. MULHOLLAN. A school.

Senator MURRAY. So your employees will have day care available when they work?

Mr. MULHOLLAN. Yes; I believe it was the testimony of the Architect that it would be available starting in June 1993, and I believe that approximately 110 children will be accommodated.

Senator MURRAY. So it comes to your employees first?

Mr. MULHOLLAN. That's correct.

Senator MURRAY. I was curious if the public would be able to leave their kids there while they were using the Library.

Mr. MULHOLLAN. That had not been considered.

Senator MURRAY. Thank you.

Senator REID. What I think we need to look at is some of the things we can do away with, what the items should be, and we should look at some of the overhead items. For example, I think one of the things we have to look at is the Special Projects Office. Tell us about that a little bit.

SPECIAL PROJECTS OFFICE

Dr. BILLINGTON. Well, the main function of the Special Projects Office at the moment is to supervise Library-wide projects. Its main project at the moment, with a relatively small investment of people, is to assemble a Library-wide working group to plan for the electronic future—what the exact formula is going to be for the electronic Library of the future.

At this time when we have to concentrate on getting up to speed on the basics of deferred maintenance, we have a very small financial and personnel investment in planning. We think that's the prudent thing to do so we don't go piecemeal into this.

At this stage, we have done considerable experimental work on the American Memory project, which is in 44 sites, as you know. Mr. Ellis has been working on the question of science and technology, but we need to have, by the time we face you next year, systematic answers to what our role should be in the electronic future.

The first thing the new President mentions in his economic plan is increasing public and private investment, and he has identified technology investments to permit access to Library information as a key component.

We think that the Library has to play a central role vis-a-vis the rest of the country. We can't give it major priority during this period, but we think that it's important. That's the principal thing that Ms. Canter is involved in, along with Mr. Ellis and others, but she can speak for herself.

Senator REID. For special projects, we have \$1.7 million; is that right?

Ms. CANTER. That's in the budget request. It's in the process of being reorganized and might have changes.

Senator REID. Last year you sought approval of this science and technology component for \$500 million, which we disapproved, but it's still in the budget request this year.

Dr. BILLINGTON. We better get Mr. Ellis.

SCIENCE AND TECHNOLOGY INFORMATION UNIT

Mr. ELLIS. We had developed a good strong head of steam in the science and technology initiative as a special project during the last year, and recognized clearly that the Congress did not approve the \$700,000 that we had requested to make this a more firm fixture of what it is that we do.

However, we had thought that it would be useful to keep up a good head of steam until such time as we could figure out a way to get this funded by nonappropriated funds, and that is the reason why Dr. Billington went ahead and sought to do the reorganization which would create this science and technology information unit.

One thing that must be recognized is that as the special reorganization was done to create a science and technology information service unit, the information technology services group was folded into it so that it becomes a very significant organizational component.

Now, I have been concerned for my own part about the possibility that we might generate the appearance of ignoring a clear directive from the Congress that you did not wish to fund this at this time, and I'm certain that this has been some concern to Dr. Billington, but he can speak for himself. I worry about this every day because I do not wish at any time to have the appearance of contradicting the Congress with respect to things as important as this.

Senator REID. We understand the importance of science and technology, but this is a difficult time we find ourselves, and I think we have tried to be extremely fair to the Library of Congress. And on those rare occasions when we don't fund something, we think it should not be funded. It should stop. It should direct its resources someplace else.

Dr. BILLINGTON. While we did create this job, it is at the same level as fiscal year 1992, the 1993 budget has not been augmented. But I think we have a problem here of whether we were, in effect, enjoined. What we are doing is continuing the investigation of an area which, if anything, judging from what the President has said and what the Vice President has been saying and what I get from many conversations with people in the Congress and the private sector, is of increasing rather than decreasing interest, how can we get more efficient use of science and technology information into the productive private sector.

Senator REID. I think at the very least in a situation like that where there is a clear direction from Congress that maybe a reprogramming request or something, and we need something to indicate that our oversight responsibilities mean something.

Dr. BILLINGTON. It involves three people and about \$225,000.

Senator REID. That's a significant amount of money.

Dr. BILLINGTON. It is a significant national problem. It seems to be the first thing mentioned in the President's new vision.

Senator REID. Put it this way: What would you rather not do than that? Those are decisions we are going to have to make.

Dr. BILLINGTON. I can answer that.

AMERICAN MEMORY

Senator REID. Maybe with American Memory, which is a fine program. There isn't anything you do that is bad. We all acknowledge that. You do great work. You have great ideas for expansion. But maybe my staff has got about \$3.5 million scattered over several accounts that make up this American memory. Maybe we should put all that money in science and technology.

Dr. BILLINGTON. That's exactly what this working group is going to determine so when we come next year we could tell you what we should or shouldn't do.

Senator REID. I think that you're going to have to do it sooner than next year. Otherwise, we are going to do some things that could be wrong. I think in the next month that you should get this group together and come up with some ideas to get back to us.

Dr. BILLINGTON. We already got the group together.

SPECIAL PROJECTS UNIT

Ms. CANTER. Mr. Chairman, we can meet whatever deadline you set for us. The Librarian has given us the charge right now of figuring this out over the next 3 years, but we certainly would understand pressure to perform more quickly.

The purpose of the special projects unit, which was originally founded in 1989 and always has been and still is the smallest of all the Library service units, is to have a core group of people who understand principles of project management so that they can be applied when there is a Library-wide initiative that involves pooling together people from different areas of the Library to accomplish the specific task. That's what we are undertaking right now with the electronic library initiative.

We are concerned with and are beginning to address many of the issues that you have raised here: the protection of intellectual property rights, the possible use of fees to recover costs, and under what circumstances they should or should not be used; the way we can work most productively with libraries and the private sector to take advantage of the challenge and opportunity to get our materials more broadly shared with the Nation; and how we might at the same time solve some of the Library's core service problems with access, security space, and preservation.

If, for example, you task the Library to look very quickly at other sources of fees, special projects might be the recipient of that task, which would involve coordination of staff in all the major service units.

Senator REID. I think that in the next month, Dr. Billington, you should get your people together and come up with some ideas for us.

What I would like to see is the Library do what it's now doing and not more, and some of these expansive things will have to wait until later. We are going to continue with the deacidification. We have to continue with the arrearage problem. Senator Hatfield has given me that as a task.

So if you could develop a plan within the next month or so, and I know that's a lot of work to do, but why don't we do that, and we will be happy to meet with Senator Mack and me and my staff. We will have to meet with you. Or if necessary, we will call just another meeting here.

TRADITIONAL VERSUS ELECTRONIC SERVICES

Dr. BILLINGTON. You said what we are doing now, there is an important philosophic question. We think we are now playing a key role, not very expensively, in the building of the electronic network of tomorrow, planning for it in a systematic and rather inexpensive way.

If you think we shouldn't be doing that now, and doing what we are doing now—that is the traditional artifactual library—then that's an important instruction I need from you.

Senator REID. Let me turn that around and tell you this: We have a finite amount of money. You have to tell me, as the Librarian, whether you want to do some of these expansionist things like science and technology and I don't know whatever else you are talking about. If that is, in fact, the case, then maybe we have to look someplace else to cut back. Maybe we aren't going to be able to reduce the arrearage to \$28 million, but maybe we are going to have to get to \$30 million next year. We haven't gotten to deacidification and asbestos removal and all of these things which are dragging on us.

The point I'm making is that we are not going to be able to continue spending money the way we have. I would love to. You know how I feel about the Library. There isn't one thing that you have talked about that I don't think is good, and it's something that you, as one of the scholars of this country, think is important. You are kind of the focal point for the scholars of this country. We have limited amounts of money.

Every other agency, we haven't given them this benefit. Every other entity that has come before us, we say we are going to cut you. That's been the message. You are saying maybe we can keep the budget the same. Keeping the same has you dropping behind some of the things you want to do.

You're the Librarian, and I'm not. You have x amount of dollars, and you have to do what you think is best for the country within those limits.

Did DOD reimburse the Library for its handbook?

Dr. BILLINGTON. Yes.

Senator REID. Good. That's the first thing that anybody has reimbursed the Library for. [Laughter.]

We can play this shifting game or shift the responsibilities to some other agency of Government or some other branch of Government. For example, are there functions within the Library that we can transfer to the executive branch? The Copyright Office, maybe? It doesn't save us any money as taxpayers.

COPYRIGHT OFFICE

Dr. BILLINGTON. There is a long history, and we could get Mr. Oman to come up on this one, but the Library's collections critically depend on copyright deposits. If the whole Copyright Office is

transferred, we will have to add to our acquisitions budget. As a result, our financial problems would be absolutely hideous as distinguished from just critical.

Senator REID. You think we make money as an institution by having it where it is?

Dr. BILLINGTON. It has worked very well. It's essential for the development of our collections to maintain the copyright deposit, and it works very well having it where it is.

Senator REID. Could we do that by law indicating those publications would have to come to the Library?

Dr. BILLINGTON. It has worked this way for 120 years, and I think there are some other potential benefits as well as the proven ones, but I will let Mr. Oman speak to the issue.

Mr. OMAN. The Copyright Office does generate \$16 million in fees, and it brings into the collections items worth at least \$12 million.

Senator REID. How much does it cost to run the Office?

Mr. OMAN. Between the two, it covers the cost. If we were to resort to the system that you're suggesting, demanding of publishers that they supply the Library with copies of their work, we do have that capability now, and we do use it. It's not an efficient operation. Letters have to be written, manpower has to be used. It's not as efficient as voluntary compliance through the registration system.

Senator REID. Obviously, if it's a wash now, we don't gain much by moving it; right?

Dr. BILLINGTON. I would ask Mr. Mulhollan to say a word on this general question.

Mr. MULHOLLAN. The question is, sir, if I take it by inference, moving copyright to the executive branch would lessen pressure on the legislative branch budget. Whichever branch, the costs and functions are basically the same. The Library is the Library of Congress. We have traditionally been a legislative entity as an institution. There are national library functions, but it's been the glory of the legislative branch to have the Library within the legislative branch, and it would be a defiance of tradition to consider moving the Library elsewhere, I think.

MASS DEACIDIFICATION PROJECT

Senator REID. Changing the subject to deacidification, Senator Mack, what we have had here were books that were printed during a certain period of time that are just disintegrating. Is that fair?

Mr. MULHOLLAN. Yes.

Senator REID. If we don't do something with the books, we just lose them. We have been working over a period of years to develop a treatment to save these books. Last year or the year before, there was no system that would allow these books to be saved, and now this is the time for the update.

Dr. BILLINGTON. Mr. Harris of preservation will take over.

Senator REID. How are we doing?

Mr. HARRIS. Pretty well. As Senator Reid knows, this was a program that was originally funded by Congress in 1984. It has had its ups and downs. The Library attempted to award a contract 1½ years ago and found that none of the vendors in the field that were

offering deacidification services to the Library and archival communities had quite perfected their processes.

We came back to both Houses of Congress last June and asked them to approve an action plan to allow us to move ahead with developing this technology for the Library of Congress collections and the library community.

The oversight committees approved a two-pronged action plan. The first part of this will allow us to work directly with the chemical company in Texas that has an exclusive license to develop and use the DEZ or diethylzinc deacidification process that was developed at the Library of Congress some years ago.

It was found during our procurement process that this was the one process in the United States that had the most promise of being perfected sometime soon, so the Congress gave us approval to move ahead for a 1-year period to try to perfect this process, to try to eliminate some of the significant problems that we experienced with it during our procurement attempt, including the fact that the process generated an odor in books.

So we are working on those problems right now. In fact, we awarded a contract to them on December 2, so we will be working with them for the next year in conducting 12 test runs.

Senator REID. Is that a Houston-based company?

Mr. HARRIS. It's a Dutch-based company, but it has an American component headquartered in Chicago. The plant is just outside Houston, in Deer Park, TX.

Senator REID. Does it look like it's going to work?

Mr. HARRIS. It looks very feasible.

Senator REID. But we won't know for 1 year?

Mr. HARRIS. It will take that long, I think. There are a number of other major research and university libraries in the United States that are working with Akzo, as well as the Swiss Government.

Senator REID. No American company; right?

Mr. HARRIS. There are American companies working on other processes. A number of them are competing to develop viable processes, some actively right now.

The second component, as you know, is for us to work actively with American and other companies developing other technologies, and we want, as much as you do, to encourage the development of other technologies so we will have competition down the road.

The second component which you approved will allow us to do testing and evaluation of these other processes to try to bring them up so that they could meet the Library's technical requirements. Under the terms of that phase of the action plan, one company has come to us, and we began working with them, in fact, this month to evaluate their process.

Senator REID. Does it look like mass deacidification is going to be feasible?

Mr. HARRIS. It looks likely that it's going to be feasible.

Senator REID. There are millions of volumes?

Mr. HARRIS. Yes; and for that reason we and the library community are placing trust in the development of these technologies.

I would also say that the Swiss Government is so hopeful and intent on the fact that the DEZ process might be perfected soon that

its federal archives and its national library are going forward to request funding to build a Swiss-owned, full-scale DEZ facility within their own country.

Mr. Chairman, if you or any of your staff members are interested in having a tour of the facility in Texas or any of the other companies that we are dealing with, and would like more background information, I and our staff will be pleased to make arrangements for you.

Senator REID. I will have Mr. Bonham go.

METHODS OF TREATMENT

Tell me at this stage how do you propose to attack the problem. You have a book. What do you do with it? Do you dip it in something?

Mr. HARRIS. DEZ is a gaseous process. It's in a chamber, like a space chamber.

Senator REID. You stick the book in this chamber?

Mr. HARRIS. It's exposed to chemicals under a vacuum condition. In the DEZ process, you withdraw moisture and oxygen from the books in the chamber and then the chemistry treats the books in a gaseous environment.

Some of the other processes are what you would call liquid-phase processes, where books are actually dipped in some kind of liquid solvent.

Senator REID. That must be hard.

Mr. HARRIS. With a solvent. Some of them are harsh.

Some of these processes cause physical and aesthetic damages to covers, as well as tackiness of the book cloth in library books, and that sort of thing.

One of the significant problems with many of the processes is they have to use solvents such as freon. Fluorocarbons are being eased out fast in this country, so some of the companies that have been working actively on developing deacidification processes utilizing fluorocarbons are changing their chemistry and re-engineering their processes.

Senator REID. Dr. Billington, thank you very much for the update, and my staff will report to me after he gets down there.

LIBRARY/CAPITOL POLICE MERGER

Tell me about the Capitol Police merger, the Library/Capitol Police merger. Is this feasible, and would this delete the \$5.8 million from the Library Police from your request?

Dr. BILLINGTON. I think that is the appropriate amount to be transferred to Capitol Police. I think this is workable but it requires a considerable amount of effort.

Mr. MULHOLLAN. Currently, sir, the counsel from the Senate Sergeant at Arms and House Sergeant of Arms, the Architect of the Capitol, and the General Counsel of the Library of Congress, have been working on draft legislation produced by the Senate Sergeant at Arms.

We feel that after legislation is agreed upon, there will be a memorandum of understanding between the Library and the Capitol Police. The basis of that memorandum of understanding would

be a transfer of the funds. We see this being done in a reasonable period of time.

CONGRESSIONAL RESEARCH SERVICES

Senator REID. Again changing subjects, and maybe Mr. Ross will have to answer this. The largest increase for nonpersonals for CRS is an increase of over \$100,000 for subscriptions. You currently budget over \$1 million for this.

Can you tell us why you need this increase?

Mr. ROSS. The increase of \$100,000 is what we call a current-level increase. It's an increase in the cost of the subscriptions.

Senator REID. It's part of the inflationary problems we have?

Mr. ROSS. Yes.

Senator REID. The Library received \$7.5 million to purchase books this year. Is there any way that this could be reduced through resource sharing with other parts of the Library?

Dr. BILLINGTON. I'm not sure I know what you mean, Mr. Chairman.

Senator REID. I assume you buy more than one of the same kind of book.

Dr. BILLINGTON. Yes; I think that we are looking at that ourselves. We had an extensive working group looking into these things, and I think, possibly, we are dealing with multiple purchases of magazines and serials for different sections within the Library.

I think there are some but not very spectacular economies that we could do. We already cut our subscriptions. I think we cut out 67. We reviewed these entire 67 major subscriptions last year, but we are not asking here for the increase in the cost of subscriptions for next year.

Senator REID. Mr. Ross made that quite clear.

Dr. BILLINGTON. It was much less than it was last year. But I think that this is an area we are continuing to look into.

Senator REID. I have no further questions.

Senator MACK. I have no further questions.

Senator REID. I just wanted to thank you for your loan to the Appropriations subcommittee of Chuck Turner, from your budget office. He has been very helpful in getting these hearings arranged and accomplished.

And I also appreciate very much you and your fine staff. This hearing has taken a long time, which indicates how serious we are about the importance of the Library of Congress. And even though it's unpleasant to talk about these financial matters, I personally would like to say, "OK, Dr. Billington, how much do you need this year?" We can't do that. It's a real struggle, and I think we will call another hearing or at least sit down and talk a little later, 1 month or so from now, to see if there are some things we can talk about.

ADDITIONAL COMMITTEE QUESTIONS

What we don't want is to have some contentious problem develop on the floor or in conference. What we would rather do is try to work something out beforehand.

Thank you very much.

Dr. BILLINGTON. Thank you, Mr. Chairman.

We appreciate the committee's support over the years. Thank you, sir.

[The following questions were not asked at the hearing, but were submitted to the Library for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

GENERAL BUDGET

ARREARAGE PROJECT

Question. In fiscal 1991, the Committee approved 164 positions to attack the arrearage problem which at that time was 38 million items. In your prepared remarks you state that you are "on schedule to meet your targeted reduction of 11.3 million unprocessed items by December of this year". What is the current backlog of uncataloged items?

Answer. As of September 30, 1992, the Library's arrearages totalled 33,576,196 items. This was a reduction of 15.4 percent (6,105,957 items) from the baseline established at the end of fiscal 1989. During fiscal 1992 the arrearages were reduced by 5,746,896 items, a drop of 14.6 percent. As of December 31, 1992, the arrearages stood at 32,120,555 items, a reduction of 19.1 percent (7,561,598 items) since fiscal 1989. During calendar 1992, the arrearages were reduced by 4,293,775 items, a drop of 11.8 percent. Arrearage counts as of December 31, 1992, are shown below:

Print materials:

Books	503,547
Microforms	178,835
Serials (pieces)	1,079,923

Subtotal	1,762,305
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Special materials:

Manuscripts	10,173,414
Maps	60,048
Moving-image materials	582,490
Music	6,135,590
Pictorial materials	11,069,781
Rare books	315,928
Sound Recordings	2,020,999

Subtotal	30,358,250
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Total items in arrearage	32,120,555
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Question. We know that the Library is constantly acquiring new materials. What effect does that have on the arrearage project?

Answer. The collections grew by 2.8 percent in fiscal year 1992. The Library is now processing more materials annually than it acquires. Therefore the arrearages are declining more rapidly than the collections are growing.

Question. Have you considered reducing your collections in lower priority areas to control costs and reduce your arrearage?

Answer. In recognition of the need to control both costs and the arrearage, the Library has instituted several actions to reduce the intake of new materials. (1) These actions include reducing our holdings of clinical medical titles (which more appropriately are the responsibility of the National Library of Medicine); refining our criteria for the acquisition of foreign newspapers—67 newspapers have already been canceled; preparing more specific guidelines for acquisitions from our overseas field offices to reduce the intake of lower priority materials, which has already resulted in the reduction of materials sent from our office in Cairo; systematically reviewing our foreign approval plan receipts, which has already resulted in the transmittal of more specific and limiting guidelines to dealers in Spain, Japan, and other countries; identifying and canceling unneeded multiple subscriptions of all categories of serials, which will save several hundred thousand dollars within the next two years; and developing plans for systematic quality reviews by inside and outside experts of selected subjects.

VACANT POSITIONS

Question. Dr. Billington, you also state that your success in 1993 depends on the rapid filling of the remaining authorized but vacant arrearage jobs. How many positions are currently vacant? And when do you expect to fill them?

Answer. Collections Services has already filled 38.5 arrearage reduction positions this year, and expects to fill 33 more within the month. We will fill additional technician arrearage vacancies as they occur. We are moving as quickly as we can to complete the requisite job analyses for professional positions, and expect to fill approximately 70 professional positions by July 1. However, as the Librarian stated in his testimony before the Committee, if the budget outlook for fiscal 1994 does not appear likely to support these additional staff, we may have to seek guidance from the Committee on adjusting these hiring targets.

Question. Why are there still vacancies almost three years after we provided funding for the arrearage effort and directed that it be given the highest priority?

Answer. The Library has total of 1,186 arrearage positions, and normal attrition has some impact on our ability to keep all these positions filled. More significantly, the April 1992 hiring freeze for budgetary reasons as well as the hiring freeze and the job analyses required as result of the Cook case have significantly affected our timetable for filling our arrearage positions. Elimination of the arrearages continues to be the Library's top priority in tandem with the security of the collections.

NATIONAL TRANSLATIONS CENTER

Question. In the fiscal year 1991 Senate Report (No. 101-533) and the Conference Report (No. 101-965) the Committee directed that the National Translations Center (NTC) be a self-sustaining operation by fiscal year 1992.

Dr. Billington, for the information of the new Members could you please tell us what the NTC is?

Answer. The National Translations Center, a unit of the Library's Cataloging distribution Service, is the primary national clearinghouse that provides researchers with English translations in the natural, physical, medical and social sciences. Most of the translations are of journal articles and patents, but there are representations of technical reports, standards and conference papers, among other types. The translations are cataloged and copies are produced on demand on a fee-for-service basis.

Question. How many employees work for the Center?

Answer. The NTC staff consists of 5 full-time employees, 3 professional and 2 support staff.

Question. What were the 1992 costs and receipts?

Answer. NTC fiscal 1992 expenditures defined as "recoverable" through sales were \$225,530 and those defined as "non-recoverable" were \$213,287, for a total of \$438,817; receipts from NTC sales totalled \$20,835.

Question. What plans do you have for this Center?

Answer. In fiscal 1992, the National Translations Center: (1) initiated a machine-readable distribution of its citations, which now appear on several online systems including DIALOG, OCLC and NASA's online database; (2) established a royalty payment procedure through Copyright Clearance Center, Inc.; (3) implemented a wide-scale acquisitions campaign to increase the quality and timeliness of contributed translations; and (4) conducted a 120,000-piece direct mail sales campaign to interest potential clientele in the scientific/technical community.

Response from the U.S. scientific/technical community has been disappointing; however, we want to continue the service through 1993 to allow more time for the market to develop. If it does not, the program must be terminated.

AUTOMATION

Question. Dr. Billington, you are requesting \$29 million for automation in the Salaries and Expenses appropriation. Other automation funds are provided in other accounts, as I understand it. What is the total Library budget for automation and computer related services and equipment?

Answer. 90 percent of the Library's automation budget is included in our central automation account, which totals \$28.4 million in the fiscal year 1994 request. The funds requested in other accounts would add another \$2.7 million making the total in all appropriations \$31.1 million.

Question. By now it is conventional wisdom that office automation can enhance efficiency and effectiveness significantly. The development of local area networks (LANS) in particular has leveraged the growing capabilities of PC's and new communication technologies to widen the scope of the creativity and initiative of the in-

dividual worker and improve organizational performance. Do all your major operating organizations have LANS?

Answer. All of the major operating organizations have some LAN connections now totalling more than 2000 connections across the Library.

Question. With on the order of \$17 million in your base for automation support (non-personals), why don't you have LANS throughout the Library?

Answer. LAN technology is only one component of our total technology environment. Our automation budget is used to support computer center equipment (mainframes, minicomputers, communications and storage technology), workstations and software. Funds are also necessary to support maintenance of all software and hardware. The creativity and productivity of Library staff is as dependent on development and enhancements of our business applications as it is on network connectivity.

Question. Do you have a Library wide plan for migrating to LAN based systems?

Answer. The replacement of older equipment with PC's in a LAN environment is being phased in with other changes to our Library information systems. The Library's use of LANS is not limited to conventional office automation applications, but will provide the best technical approach for connectivity to a variety of systems. However, LAN technology and associated client-server architecture are not sufficiently mature to serve as a total substitute for large mainframe applications now serving LC users. The size of our databases still requires access to centralized computing facilities. Some of our new applications are being developed for the LAN environment. We do not have a plan to migrate all of our systems to client-server architecture.

Question. If so, when do you expect to have LANS available to all your professional workforce?

Answer. We expect to have LAN connectivity to meet most of our planned and currently anticipated requirements by the end of fiscal year 1995 assuming at least level funding for the automation budget.

EARLY OUTS

Question. On February 10, 1993 the President issued an Executive Order to reduce the federal workforce by 100,000 positions by the end of fiscal year 1995 through attrition and early outs.

The Joint Congressional Leadership has commended the President on his plan to reduce government spending and the Congress intends to achieve a comparable 4 percent reduction in the number of Legislative Branch personnel by 1995.

The President's plan will make use of early out authority to help achieve its personnel objective.

Do you think that early out authority would be useful in reducing the size of your workforce without major organizational disruptions?

Answer. Yes, we believe that an early out authority would be very beneficial in reducing the size of the workforce and that it would not cause major organizational disruption. Our analysis showed that a total of 815 Library staff would be eligible for such a program. However, statistically only 1 out of 6 (or 17 percent) of Federal employees who are eligible for an early out actually take advantage of such an offer. Since the Library has never offered an early out retirement, we do not know what the organizational acceptance might be. Based on the Library's generally low turnover rate and the fact that Library staff tend to stay at the Library for many years, we do not think it likely that more than 17 percent of those eligible would actually take advantage of such a package. Therefore, we project that approximately 145 eligible staff would take advantage of the early out if an incentive program were offered. However, the Library would backfill 67 of these positions, for a total reduction of 78 positions. Potential dollar savings over a three year period would be \$9,800,000.

MINORITIES IN ADMINISTRATION

Question. In referring to the Cook case that you were talking about, what is your percentage of minorities in your top level administration right now, and what percentage of that are women?

Answer. The Library has 146 top-level supervisors/managers who are at or above the GS-15. Of those, 51 (35 percent) are women; 15 (10 percent) are minority males; and the remaining 80 (55 percent) are white males.

The specific distribution by race/sex is as follows:

	Males		Females	
	No.	Percent	No.	Percent
White	80	55	41	28
Black	9	6	5	3
Hispanic	2	1
Asian/PAC Islander	4	2	3	2
American Indian/Alaskan Native	2	1

REDUCTIONS IN ADMINISTRATIVE EXPENSES

Question. The President recently issued an Executive Order to reduce administrative expenses by 14 percent by 1997. The Joint Leadership has endorsed that goal for the Legislative Branch. How would you define administrative expenses?

Answer. In this context, we interpret administrative expenses to be certain non-personal expenses such as travel, consultant services, and supplies. I would not include mandatory items such as books, deacidification contractual work, and collections storage rental costs.

Question. What steps would you take to cut back on administrative overhead/administrative expenses of the Library of Congress to achieve a 14 percent reduction by 1997?

Answer. The Library has already cut administrative expenses during fiscal year 1993 in order to make ends meet. As you know, we are requesting reprogramming of these types of non-personals to pay our staff. In addition, I have established a task force headed by the Library's Inspector General to identify any additional economies or possible cuts that can be made to administrative costs.

INTERNATIONAL COPYRIGHT INSTITUTE

Question. Last year you requested, and the Committee approved an increase in the authority for the International Copyright Institute from \$100,000 to \$200,000. Now this year you are requesting the amount be reduced to the former amount. For the benefit of the new Members would you describe the activities of the International Copyright Institute?

Answer. Congress created the International Copyright Institute in 1988 to train foreign copyright officials on the advantages of strong copyright protection. We focus on countries that harbor copyright pirates—especially the Far East and the Middle East.

The ICI is part of our one-two punch. (1) The trade negotiators threaten massive retaliation if the countries refuse to crack down on piracy, while (2) the Copyright Office extends a helping hand by training their copyright officials and advising them on how to upgrade their laws and join the international copyright treaty. This combination of training and trade retaliation has produced big results. Over the past five years 15 countries have joined the Berne Convention, giving U.S. filmmakers, songwriters, computer programmers, record companies and authors protection for the first time in countries with a combined population of 1.5 billion people.

The copyright industries have seen a marked increase in the level of protection worldwide. They now earn almost \$40 billion in overseas markets. If we wiped out piracy, that figure would increase to \$55 billion.

So for the modest \$100,000 appropriation for the ICI, we get a good return on investment.

Question. Why was there a one year need to increase this authorization?

Answer. We needed to double the amount requested to finance the Institute in fiscal year 1993 because of the importance of the training in relation to the USTR's bilateral negotiations with developing countries (the negotiations hold out the prospect of training as an inducement to increased copyright protection for U.S. works). As a result, we are anticipating an increase of approximately 50 percent in participants in fiscal year 1993 over 1992. However, since the targeted regions for fiscal year 1993 will be Asia, the Caribbean, Eastern Europe, and the Middle East (particularly Turkey and the United Arab Emirates), the cost to the institute will approximately double. Pirates of U.S. software, films, books, and sound recordings infest these areas, and the training will help these governments enact strong laws and put the pirates out of business.

Question. Is this going to be subject to change every year?

Answer. No.

Last fall I prepared a brief summary for Senator DeConcini of ICI activities. I request that it be included in the record.

Background

The International Copyright Institute, created by Congress as part of the U.S. Copyright Office in 1988, trains foreign copyright officials and promotes improved copyright protection for U.S. creative works abroad.

In particular, the Institute trains officials from developing and newly industrialized countries. It has also provided a forum for representatives from countries making the transition from non-market economies to private enterprise. The training allows government officials and U.S. copyright experts to build personal relationships that can be utilized to resolve bilateral copyright problems and to encourage development of effective intellectual property laws and enforcement overseas.

The International Copyright Institute focuses on those countries and regions where U.S. authors and copyright owners are not receiving adequate copyright protection.

The U.S. copyright industries produce books, motion pictures, musical compositions, sound recordings, computer software and data bases. These industries generate more than \$25 billion in trade with overseas markets and account for almost six percent of our gross national product. It is estimated that the elimination of foreign piracy of U.S. works would produce another \$5 billion in sales for these industries.

During the past three years private industry has contributed more than \$30,000 for related non-training events. They have also subsidized the training indirectly by flying lecturers into Washington, D.C. and paying their salaries, hotel costs and other expenses. The dollar figure would be substantial, and the industries who make those generous in-kind contributions are the motion picture industry, the software industry, the semiconductor chip industry, the record industry, the publishing industry, and the composers and lyricists. In addition, the World Intellectual Property Organization contributed a total of \$100,000 to help subsidize three ICI programs.

Since its inception, the ICI has conducted at least two major programs each year. The ICI has provided training for more than one hundred officials from 62 nations since the inaugural program in the fall of 1988. The Institute comes under the direct supervision of the U.S. Register of Copyrights and has a Director who plans the programs.

The programs have encompassed the following regions and countries:

1. September 1988—Far East and Pacific Rim—Indonesia, Malaysia, People's Republic of China, Singapore and Thailand (5 participants);
2. June 1989—Egypt—one country (7 participants);
3. September 1989—Arabian Peninsula and Pacific Rim—Saudi Arabia, Egypt, Qatar, Kuwait, Philippines, Taiwan, Thailand, Oman (14 participants);
4. April 1990—Worldwide Program in connection with the Bicentennial of the first U.S. patent and copyright laws. (Sponsored jointly by the U.S. Copyright Office/World Intellectual Property Organization) Argentina, Brazil, Ghana, Haiti, India, Indonesia, Jamaica, Kenya, Republic of Korea, Malawi, Mexico, Nigeria, Senegal, Sudan, Uganda (15 participants);
5. September 1990—French Speaking Africa (Joint Program—U.S. Copyright Office/World Intellectual Property Organization) Algeria, Benin, Burkina Faso, Burundi, Congo, Cote d'Ivoire, Guinea, Mali, Morocco, Niger, Zaire (11 participants);
6. April 1991—Spanish Speaking Nations (Joint Program—U.S. Copyright Office/World Intellectual Property Organization) Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Mexico, Panama, Paraguay, Peru, Uruguay, Venezuela (12 participants);
7. August 1991—People's Republic of China—one country (20 participants);
8. November 1991—Eastern Europe and the Soviet Union—Bulgaria, Czech and Slovak Federal Republics, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, the Soviet Union (18 participants).

International Copyright Institute Model Program

While in Washington, officials learn the workings of the U.S. Copyright Office, the Copyright Royalty Tribunal, and U.S. Customs. They see firsthand the important roles played by Congress, the courts, and the private sector in building and maintaining a strong copyright system.

We stress the development of both administrative skills and technical knowledge regarding the protection of copyrighted works, both foreign and domestic. Past programs have included sessions on drafting strong copyright laws and the nuts and bolts of enforcement. The trainees participate in discussions with U.S. copyright ex-

perts on current international issues, and usually give an in-depth presentation on the details of their own law, if one exists.

Typically, a training program would include: Piracy and enforcement; protection of computer software and data bases; balancing the rights of authors and the needs of users; rental rights and parallel imports; collective administration of rights; international licensing in copyrighted works; protecting sound recordings under copyright.

In recent years, the United States government has stepped up activity to improve copyright protection, and progress has been made in many countries and regions of the world where significant piracy problems for U.S. copyrighted works exist. The United States Trade Representative has made strong copyright protection a centerpiece of its trade negotiations with developing countries. The ICI program makes foreign officials fully aware of the legal and policy connections that the United States makes between trade and protection of copyright. In some instances, negotiators have held out the prospect of training as an inducement to increased copyright protection for U.S. works.

The U.S. Copyright Office works closely with international organizations. The International Copyright Institute has jointly sponsored three training programs with the World Intellectual Property Organization in Geneva. A fourth program will be jointly sponsored by W.I.P.O. for participants from Nigeria in the fall of 1992.

Recent Copyright Developments in Individual Countries and Regions

Eastern Europe: The U.S. signed bilateral trade agreements with several countries in this region (Bulgaria, Czechoslovakia, Poland and USSR) over the past few years to improve IPR protection. New agreements in 1992 have been signed with the successor states to the Soviet Union and other countries in the region such as Albania and Romania. In April 1991 the United States and Bulgaria signed a trade agreement including strong protection for intellectual property rights. The Copyright Office participated in the U.S. delegations working on these and other discussions in this region. There have already been recent improvements, and draft laws are being prepared in virtually all of the countries in this region. These developments are being carefully watched by the Copyright Office, and we are providing assistance whenever it is requested by other U.S. agencies or representatives from these countries. For example, the Baltic countries informally requested assistance in the development of their new copyright laws, and we are closely monitoring draft laws in Russia, Ukraine, and Poland—the latter being a prime source of piracy of copyrighted U.S. works. In November 1991 copyright experts, publishers, legal scholars and representatives of author's rights societies from Bulgaria, Czech and Slovak Federal Republics, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, and Russia took part in a week-long ICI symposium to discuss the protection and enforcement of copyrighted works in their countries. Several of the participants from this symposium are now engaged in drafting the copyright laws of Eastern European countries.

Egypt: Seven Egyptian copyright experts participated in ICI training in 1989. New legislation was recently enacted addressing these issues. The United States has provided input on the substantive content of this legislation.

Arabian Gulf Region: Relying on the expertise of an ICI trainee, the Gulf Cooperation Council has developed a model copyright law. A Kuwait copyright expert attended ICI training in 1989, and Kuwait has a draft copyright law that may be enacted this year. The UAE copyright law recently passed the Council of Ministers and is currently awaiting the President's signature. Saudi Arabia passed a copyright law in December 1989 after participation by a delegation of Saudi officials in ICI training. These copyright officials have played a continuing role in the copyright affairs of Saudi Arabia.

Africa: Nigeria has launched an impressive campaign against piracy and to educate its citizens about intellectual property. Copyright officials from Nigeria have attended ICI training sessions in 1990 and 1992, and one of the trainees has recently been hired by the Nigerian Copyright Council. Fourteen Nigerian participants will study copyright under the aegis of the joint Copyright Office—World Intellectual Property ICI program scheduled for September 1992.

The People's Republic of China: China passed its first copyright law on September 7, 1990; it went into effect on June 1, 1991. In April of 1991, China was designated under the trade law as a country with ineffective intellectual property laws. On January 17, 1992 the United States Trade Representative, Carla A. Hills, signed a Memorandum of Understanding committing China to improve protection for U.S. intellectual property, including strong protection for U.S. and copyrighted works, specifically computer software and sound recordings. In that agreement China and the United States agreed to establish bilateral copyright relations by March 16, 1992.

and that has happened. China also committed to join the Berne Convention for the Protection of Literary and Artistic Works by October 15, 1992 and the Geneva Phonograms Convention by June 1, 1993. China also agreed to grant effective protection to computer software and to protect all new and existing U.S. works in accordance with international standards.

To assist the People's Republic of China in its development of copyright law and practice, the United States Copyright Office sponsored a training program for 10 Chinese officials in 1986. One of the trainees was the chief copyright negotiator for the Chinese delegation, and most of the others continue to work in the Chinese Copyright Office. During that 1986 ICI program, the office was asked to sponsor one copyright official, Gao Hang, for a year. From January, 1987 until March, 1988 the Copyright Office provided in depth training and assistance. We arranged for many sessions on all aspects of the copyright law and practice. One of my policy advisers was available to her for her entire stay in the U.S. Under the guidance of the Copyright Office, she met with many copyright organizations during this period. Mrs. Gao returned to her country where she became Deputy Director of the International Copyright Division. As a result of her studies at the Copyright Office and as a result of the contacts that she made, she was able to return to the United States in January, 1991 for a year of study with a leading copyright scholar, Paul Goldstein, at the Stanford University Law School. She recently returned to her country where she is now one of the preeminent leaders in copyright. In 1991, the Copyright Office's International Copyright Institute provided a comprehensive three-week training program for 20 high level judicial and copyright officials from many provinces which helped them develop the expertise they needed to implement their new copyright law.

Indonesia: Copyright experts from Indonesia participated in ICI training programs in 1988 and again in 1990. Relying on the expertise of the first ICI trainee, Indonesia enacted a modern copyright regime, and as a result the United States established bilateral copyright relations on August 1, 1989. In September 1991 Indonesia initiated a crackdown on video and audio pirates.

The Republic of Korea: Korea enacted a modern copyright regime in 1987 and joined the Universal Copyright Convention on October 1, 1987. It also became a member of the Geneva Phonograms Convention in October, 1987. In January 1989 Korea created a task force to coordinate intellectual property responsibilities between ministries and designated enforcement teams. U.S. copyright owners complained about the difficulty of enforcing their rights in Korea, and, as a result, in 1989 Korea was placed on a "priority watch list" under the special 301 provision of the 1988 Trade Act and was moved in November 1989 to the "watch list" where it was retained in 1990 and 1991. A Korean copyright official attended a 1990 ICI training program.

Malaysia: Under the leadership of the Malaysian ICI trainee, Malaysia enacted a modern copyright law and became a member of the Berne Convention on October 1, 1990. A number of copyright enforcement raids in 1991 suggest that Malaysia is making a strong effort to fulfill its responsibilities under the Berne convention. At this time there are no significant problems.

Singapore: Singapore was a pirate haven, but it reformed and is now a model for other Asian countries. A modern copyright law was enacted, and the United States established bilateral relations with Singapore on May 18, 1987. A Singapore copyright expert attended ICI training in 1988.

Taiwan: In 1989 Taiwan initialed a bilateral copyright agreement which called for Taiwan to upgrade its copyright law. A significant problem has been unauthorized public performances of motion pictures. Taiwan has been working on this issue and has been improving its enforcement efforts. In April 1992 USTR designated Taiwan as a "priority country" under provisions of the 1988 Trade Law, which could have led to the imposition of severe trade sanctions on goods manufactured in Taiwan. On June 6, 1992, USTR reached an agreement with representatives of Taiwan concerning protection and enforcement of United States intellectual property. One copyright expert, who took part in a 1989 ICI training program, advised the Taiwan delegation during the negotiation of the bilateral copyright agreement. The Copyright Office sponsored Margaret Chen from the Taiwan Copyright Office for one month of training in the fall of 1991. While in Washington, she learned about the U.S. copyright operation; she brought this information back to Taiwan. Her expertise is reflected in the new Taiwan copyright law and in the new expanded plans for the Taiwan Copyright Office. As a result of her stay at the U.S. Copyright Office, she was able to arrange to return to the U.S. to pursue a Master of Laws degree at American University and study with copyright professor Peter Jaszi. She will continue to be a force for positive copyright change in Taiwan.

Thailand: Thailand needs to upgrade its law, especially with respect to protection for computer programs. In 1991 Thailand was designated under Special 301 and Title VII of the 1988 Omnibus Trade Act as a country that failed to protect U.S. copyrighted works. The issue was lack of adequate enforcement in the area of audio-visual, sound recording and computer software piracy. Copyright experts from Thailand joined ICI training programs in 1988 and 1989. The investigation by the United States Trade Representative was terminated in December, 1991 because of significant improvements. U.S. copyright owners, however, continue to have difficulty enforcing their rights because of problems proving ownership and Thailand's failure to accord United States copyright owners rights to which they are entitled by virtue of U.S. membership in the full Berne Convention.

Latin America: Chronic problems in copyright protection for U.S. works in Latin America fall generally into the areas of motion picture and sound recording piracy, unauthorized interception and distribution of U.S.-origin programs carrying satellite signals, uncertain bases for copyright protection of computer programs, inadequate or ineffective enforcement systems for civil and criminal infringements and, in certain cases, discriminatory restrictions on market access (mostly for theatrical film and television products). Developments in Latin America have been uneven. Copyright experts from Brazil, Chile, Panama, and Venezuela attended ICI training in 1991. Obstacles remain to full access to the Brazilian market for U.S. film and television production companies; changes in government in Panama have changed *dratis personae* rather than fundamental policies on cable television and satellite signal piracy; revision of the copyright law in Venezuela is stalled at last report. The contents of the stalled Venezuelan copyright law are excellent, particularly from the anti-piracy viewpoint and the problems are now ones of political will. Santiago Carlos Schuster Vergara, Director General, Sociedad Chilena del Derecho de Autor, participated in the April 1991 ICI and with great enthusiasm returned home to organize, with WIPO and the Chilean Government, the Seventh International Congress on Intellectual Property in Santiago, Chile in April 1992. The three-day program, attended by more than 600 people from Central and South America, including 150 judges, offered a high-level review of developments relating to protection of authors, performing artists and producers from copyright experts from 15 countries and the World Intellectual Property Organization. With Señor Schuster's help, Chile has enhanced its copyright law in respect of computer program protection. Anti-piracy enforcement of Chile's generally adequate copyright statute has been vigorous and effective. Finally, in Peru, the ICI trainee organized a hemispheric copyright symposium to advance the battle against piracy.

Mexico: A Mexican copyright expert, Rafael Ortiz Ruiz, Head of the Public Dominion Department of the National Copyright Office, attended Copyright Office ICI training in 1990. On July 9, 1991, Mexico amended its copyright law to provide significant improvements in the protection of sound recordings, and computer software, and in the enforcement of rights for all works. Mexico also significantly increased the penalties available against record and film pirates. The Copyright Office was a member of the U.S. delegation that worked to see these changes come to fruition. Already, U.S. industries have been successful in enforcing their rights in Mexico.

Future Programs

We have begun discussions of possible future programs with our sister agencies in government, with congressional staff, with the U.S. private sector, and with the W. I. P. O., and we will actively consider training sessions focused on the following areas: Central America and the Caribbean, Southeast Asia (Vietnam, Laos, and Cambodia), the former Soviet Republics, South Asia, the Middle East, and Anglophone Africa. We will make our final decision on the scheduling of programs after completion of all of the consultations.

CONGRESSIONAL RESEARCH SERVICE

DUPLICATION OF EFFORT

Question. Mr. Ross, I have a couple of issues I want to discuss with you. The first is the possible duplication of work products by the support agencies of the Congress. In the current fiscal year we appropriated \$435 million to GAO, \$21 million to OTA, \$22 million to CBO, and \$57 million to CRS. These are not inconsequential amounts. I strongly believe that reducing the demand on CRS, as well as the others, and perhaps redefining your missions to minimize overlap and duplication could produce some significant economies.

I'm aware of your monthly "Research Notification System" report that's prepared to avoid inadvertent duplication of effort on the same issue areas. However, there

seem to be several functional areas that are addressed by all of you. For example, all the support agencies do work on budget, health, and transportation issues.

Do you think that an interagency task force could review and recommend realigning activities to provide for a better division of labor?

Answer. The Joint Committee on the Organization of Congress has indicated its intention to hold hearings and perhaps commission studies on the roles and responsibilities of the congressional support agencies. It may be better to make the decision on whether to set up an interagency task force until after the Joint Committee issues its findings, conclusions, and recommendations.

The question of "overlap and duplication" regarding work of the four support agencies is one we take very seriously. In deciding whether an interagency task force could be effective in recommending realigning activities to provide a better division of labor, the following points are relevant:

- The four agencies have distinctly different missions

Even though the Research Notification System includes entries from the different agencies in such subjects as the budget, health, and transportation, the type of analysis, the intended audience, the timeliness, etc. are quite different from agency to agency. We may need to pay more attention to the titles of our various reports and studies as listed in the Research Notification System. The titles may suggest overlap and duplication when, in fact, none exists. The interagency working group will review these titles to assure that they accurately reflect actual differences in analytical approach, intended audience, etc.

- The four support agencies have developed procedures designed to minimize inappropriate overlap and duplication, and through constant efforts have been successful.

The monthly Research Notification System lists current research projects, is circulated to the four agencies and to selected congressional committees, and is used to coordinate research efforts.

Procedures emphasize and promote analyst-to-analyst communication to avoid duplication of effort.

A high-level group of managers meets quarterly to discuss and coordinate "new starts" and to plan the 10 or more meetings for subject matter experts to discuss their work on hot topics before the Congress.

The directors of the four agencies meet annually to review progress, policies, and procedures and to discuss current problems.

The four agencies have prepared a folder designed to highlight for the Congress the research services available to them. This folder includes a statement from each agency regarding the research work it does for Congress which make clear the different missions of the agencies.

- In October 1991, the Carnegie Commission on Science, Technology, and Government issued a report on "Analysis and Advice from the Congressional Support Agencies." This report stated that:

"The support agencies have achieved relatively comfortable formal and informal working relations with each other, usually avoiding significant overlap and duplication of effort. They are distinctively different institutions with different personnel, policies, and roles. Committees and individual Senators and Representatives have different needs and perspectives, and they benefit by having access to a variety of opinions from different perspectives." (p. 22)

The Commission's report goes on to conclude:

"In the early stages of its analysis, the Committee considered organizational changes as one means of strengthening support agency activities, but the Committee concluded that the current organizational framework serves Congress well." (p. 37)

While the Commission's report focussed on science and technology information to the Congress we believe their conclusions would apply to other subject areas as well.

FROST TASK FORCE

Question. Mr. Ross, last year we talked briefly about CRS's role with respect to assisting the development of the parliamentary institutions in Eastern Europe. You stated that funding for this project has been provided by way of an interagency agreement you have with the Agency for International Development. How much funding has been provided for this effort in total?

Answer. To date, the Agency for International Development has provided \$14,008,000 to support the Special Task Force on the Development of Parliamentary Institutions in Eastern Europe (the Frost Task Force). This funding covers Task Force programs in Bulgaria, the former Czech and Slovak Federal Republic, Esto-

nia, Hungary, Latvia, Lithuania and Poland. A small amount of money has also been allocated to conduct needs assessment and provide a small number of books and office automation equipment for Albania.

Of this total, \$11,008,000 provides support to Eastern Europe. As of February 10, 1993, the Frost Task Force has allocated these funds in the following manner:

Albania, Bulgaria, Czechoslovakia, Hungary, Poland:

Equipment	\$6,894,000
Technical Assistance on Building a Parliamentary Information and Research Capability	2,621,000
Strengthening Library Collections	929,000
General Administration	564,000

An additional \$3,000,000 provides support to the Baltic States. As of February 10, 1993, the Frost Task Force has allocated these funds for the Baltic States as follows:

Estonia, Latvia, Lithuania:

Equipment	\$1,832,000
Technical Assistance on Building a Parliamentary Information and Research Capability	609,000
Strengthening Library Collections	400,000
General Administration	159,000

Question. How many staffyears did CRS allocate to this effort during fiscal year 1991, fiscal year 1992, and what are your estimates for staffyears in fiscal year 1993 and fiscal year 1994?

Answer. During fiscal year 1991, 4.62 staffyears were reported for this project, from January 1991 through September 1991. In fiscal year 1992, 10.76 staffyears were reported. For the first quarter of fiscal year 1993, 1.62 staffyears were reported. The A.I.D. funding provides reimbursement for an average 9.3 FTE per year over the life of the program (8.69 FTE for CRS, and .61 for supporting LC staff assisting with book ordering and equipment procurement), in addition to reimbursement for House Information Systems staff working on the equipment procurement. At any given time, there are varying numbers of staff on board, depending on the activities undertaken at that time and because only portions of some staff are charged to the project. Because the project was ramping up during the first year, we project that the staff years allocated for the remaining will be higher as we complete delivery of books and equipment. Over the life of the program, we project that we will approximate the number of staff years for which reimbursement is provided.

Question. Of the staffyear allocation for this program in fiscal year 1992, how many staffyears were in travel status?

Answer. From the January 1991, when the program began, through January 1993, a total of 524 days of CRS staff time was been spent in travel status. This represents a total of two FTE staffyears during the two years of the program, or one FTE per year.

Question. What do you believe are the major accomplishments of this project? Why should CRS be engaged in a foreign assistance activity?

Answer. The program is based on the principle that the key to democracy is an effective legislature that has access to independent information. There are a number general accomplishments and lasting impacts: (1) Members and staff of parliaments have been made more conscious that information needs to be shared, to increase choices for parliament and improve the dialogue with the executive; (2) Frost Task Force Programs, and related programs such as the Gift of Democracy to Poland, have increased the capacity of these parliaments to sustain themselves as representative bodies; (3) Legislators are using information more and actively seek it out; (4) Training has stimulated comparative approach to law-making; (5) Libraries have moved from just lending books to providing information services; (6) Technology provided has improved overall operations and accelerated the capacity of parliaments to produce and distribute copies of draft bills, plenary records and committee documents from months to days, and in some cases hours; (7) Programs have served as a catalyst, raising level of attention by parliamentary leaders to building infrastructure for an effective democratic parliament; e.g., in Czechoslovakia and Hungary the program led to creation of special working groups of key Members and staff; (8) Equipment and other assistance accelerated modernization by several years, in both Hungary and Czechoslovakia; (9) By sponsoring regional meetings and taking a multinational approach to our training programs, the program has led parliaments to work together, help each other, e.g. conference of research directors in Warsaw and a regional meeting of librarians in Latvia.

In addition to these general accomplishments, the different program elements have provided the following:

Equipment.—Over 400 microcomputers, 142 printers, 31 photocopiers, and 2 FAX have been installed; the program assisted in design of integrated information systems, with local area networks, which can be readily expanded and modernized and in the design of a digital telecommunications system for the Parliament in Prague.

Libraries.—3518 books and serials subscriptions have been provided to date; the program assisted in the design of integrated information systems and helped establish and equip a quick reference unit in the Polish Senate, providing it with a core library. CD-ROM technology was introduced and hardware, software, subscriptions and training provided to the parliament libraries of Poland, Czechoslovakia, Hungary, and Bulgaria.

Training.—The program has provided training to 112 key parliamentary staff, including research directors, head librarians, legal advisors, budget and financial specialists, to 160 members of Bulgarian Parliament, and a program is scheduled to train the trainers for the Polish Parliament.

Question. What impact has the diversion of CRS staff to this effort had on your ability to provide timely assistance to the Congress, which I assume you consider your primary mission?

Answer. The Joint Committee on the Library stipulated that CRS support for the Frost Task Force could not adversely affect regular service to the Congress and we have managed the program in a manner to meet that mandate. AID funding covers all costs which are not directly related to CRS' primary mission in order to assure that resources are not diverted from work for the Congress. We believe that the net effect of CRS activity in this area is positive, because it affords Congress more direct and timely access to information in this crucial region of the world through the active participation of CRS foreign policy specialists.

TRANSFER OF FUNCTIONS

Question. Dr. Billington, if continuing budget pressure makes it necessary to reduce the size of the Library staff, would it be possible to transfer some of the functions that the Library of Congress now performs to the Executive Branch? What about transferring the Copyright Office? What other Library units or functions do you think could be transferred?

Answer. I do not believe that transferring functions or units to the Executive Branch could be justified as a means of budgetary savings for the Federal Treasury. In creating the Library, Congress created an institution to first and foremost serve the Congress in its oversight, legislative, and representational functions. The Library however, has evolved into a major educational and cultural institution—with approximately 70 percent of its services provided directly to the nation's libraries and citizens. As such, the Library plays an instrumental role in preserving the nation's—and the world's—culture and history. It is a focal point for knowledge and discovery. It protects the rights of authors, it opens the world of reading to the nation's blind and physically handicapped readers, it preserves for future generations the films, sound recordings, books, and other materials of yesterday and today, it saves the nation's libraries millions of dollars in cataloging. I know the Congress agrees with the importance of these services and the value we assign them in today's world. While I would argue strenuously that these services remain with the Library of Congress for sound managerial and organizational reasons, I would argue even more strenuously of their importance to the nation.

If what I might infer from the question is how might budgetary pressure on the Legislative Branch be reduced, then I, with great reluctance, would offer for your consideration a formal recognition of the National Library role of the Library of Congress and place most of the institution outside the Legislative Branch, perhaps as an independent agency. In administratively moving these Library services from the Legislative Branch to an independent agency, the Congress would reduce Legislative Branch Appropriations. However, such an organizational change would impact on other areas, primarily the basic statutory authorities under which the Library now operates and its relationship to the other Federal branches and central support agencies.

QUESTIONS SUBMITTED BY SENATOR CONNIE MACK

OVERALL BUDGET REDUCTIONS

Question. As you know, the joint leadership of Congress has joined President Clinton in calling for reductions of both staff and funding for Congress and the Legislative Branch agencies. Specifically, the leadership has asked for a 4 percent reduction in staff over two years and a 14 percent reduction in "administrative expenses" over

four years. The latter reduction apparently is calculated from a current services baseline and would be achieved by a nominal freeze on such expenditures. Can you identify how you might implement reductions of that magnitude? What areas would you most jealously protect from reductions?

Answer. The Library would protect and make a priority those areas that affect future generations, not just current services. For example, the purchase of materials, preservation, and security. We will continue to identify low priority services and phase them out like we recently did with low-use reading room hours. The Library has established a task force headed by the Library's Inspector General to look for ways to economize and eliminate duplication.

Question. In 1986, there was a Gramm-Rudman-Hollings sequester of budget authority for non-defense programs of 4.3 percent, reducing fiscal year 1986 BA for Library of Congress S&E by \$5,751,000 from an appropriation of \$133,747,000. Your fiscal year 1994 request, net of receipts, is \$214,870,000, an increase of \$86,874,000, or 68 percent, in the 8 years since the year of the sequester. Doesn't that lead you to believe that you could rather readily handle a 4 percent cut over two years in personnel and a freeze on expenses for the next four years?

Answer. During fiscal year 1993, the Library implemented a cut of 128 positions (2.6 percent). A further reduction in personnel and a freeze on expenses for the next 4 years would have the following major consequences: (1) The Library would need a 3 percent increase in fiscal year 1994 to stay even, assuming the President's pay freeze is approved; (2) A hiring freeze would not be sufficient to cover other mandatory increases in the fiscal year 1994 budget such as price-level increases to maintain existing levels of service, one quarter of the fiscal year 1993 pay raise, within grade increases, and career-level promotions; (3) The arrearage reduction effort would need to be reevaluated with some arrearage positions left unfilled; (4) There would be an increase in the length of time required to handle Congressional requests; (5) There would be a reduction in services to readers and Library patrons across the nation, and an increase in the time required to serve patrons because of vacancies; (6) There would be delays in implementation of the automation programs which are basic to providing better service with less staff; (7) There would be a reduction in the number of reading materials available to blind and physically handicapped patrons.

COLLECTION SERVICES

ARREARAGES

Question. The Committee has been very responsive to your requests for additional resources to tackle the arrearages problem, and I trust you have been making some headway in that regard.

What is the current status of the arrearage and in what category of materials is the problem most acute (i.e., books, manuscripts, serials, etc.)?

Answer. As of September 30, 1992, the Library's arrearages totalled 33,576,196 items. This was a reduction of 15.4 percent (6,105,957 items) from the baseline established at the end of fiscal 1989. During fiscal 1992 the arrearages were reduced by 5,746,896 items, a drop of 14.6 percent. As of December 31, 1992, the arrearages stood at 32,120,555 items, a reduction of 19.1 percent (7,561,598 items) since fiscal 1989. During calendar 1992, the arrearages were reduced by 4,293,775 items, a drop of 11.8 percent. Arrearage counts as of December 31, 1992, are shown below:

Print materials:

Books	503,547
Microforms	178,835
Serials (pieces)	1,079,923
Subtotal	<u>1,762,305</u>

Special materials:

Manuscripts	10,173,414
Maps	60,048
Moving-image materials	582,490
Music	6,135,590
Pictorial materials	11,069,781
Rare books	315,928
Sound Recordings	2,020,999
Subtotal	<u>30,358,250</u>

Total items in arrearage	32,120,555
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Question. What is the current rate of growth in the collections and how does this affect the arrearages?

Answer. The collections grew by 2.8 percent in fiscal year 1992. The Library is now processing more materials annually than it acquires. Therefore the arrearages are declining more rapidly than the collections are growing.

Question. How have you progressed in filling the additional positions funded by the Committee to address the arrearage problem?

Answer. In October 1992, Collections Services hosted a highly successful job fair to recruit for all the professional and technician arrearage positions. The Library has used INTERNET extensively to target special interest groups. We have used targeted mailings to library schools, professional associations and special interest groups. We have placed recruitment advertisements in various professional journals and publications.

Question. How many vacancies remain? How has your progress in filling these positions been affected by the hiring freeze? Does elimination of arrearages continue to be your top priority?

Answer. Collections Services has already filled 38.5 arrearage reduction positions this year, and expects to fill 33 more within the month. We will fill additional technician arrearage vacancies as they occur. We are moving as quickly as we can to complete the requisite job analyses for professional positions, and expect to fill approximately 70 professional positions by July 1.

The hiring freeze as well as the job analyses required as a result of the Cook case have significantly affected our timetable for filling our arrearage positions.

Elimination of the arrearages continues to be the Library's top priority in tandem with the security of the collections.

PRESERVATION

Question. Another top priority of the Library and this Committee in recent years has been the mass deacidification project, which both you and your predecessor have identified as critical to the preservation of not only your collections but those of other libraries throughout the nation. Despite the critical nature of the project, however, it has been plagued with management problems and technological setbacks, and we still do not have a viable program. What is your present outlook for the achievement of a successful mass deacidification program, and how will you manage the costs of that program in the face of declining budgets?

Answer. The mass deacidification program is progressing well and on schedule. In our first 2 tests this January, we have made progress on the important issue of odor in treated books. We remain very hopeful that the DEZ process will be perfected and put into production. Information on other deacidification technologies is still very limited. Only one firm using an alternative deacidification process has requested evaluation under the program. We began working with them earlier this month. Funding for the initial phases of the mass deacidification program is already appropriated. We will not need new funding until fiscal year 1996. We plan to start production at a lower level than originally planned—i.e. 300,000 books per year rather than 1,000,000. The next test run is focused on shortening treatment time to reduce costs.

PURCHASE OF BOOKS

Question. You are requesting \$8,627,000 for the purchase of books of which \$500,000 is for growing workload. Approximately how many books or other materials will this total request provide?

Answer. At projected fiscal year 1994 costs (based on a 6 percent price level increase over estimated fiscal year 1993 costs), \$8,627,000 will support the purchase of approximately 764,474 items at an average cost per piece for law materials of \$36.39 for monographs, \$14.10 for serials; and an average cost per piece for the general collections of \$27.34 for monographs, \$5.92 for serials.

Actual purchases (especially retrospective items and special materials) vary widely from year to year. However, costs for many forms of material (especially current books and serials) change according to rather predictable trends over time. The price level increase requested for fiscal year 1994 will not restore the purchasing power lost as a result of not receiving a price level increase in fiscal year 1993.

Question. Given the tight fiscal constraints and likelihood of further reductions, have you reevaluated your collections policies?

Answer. Although the Library's collecting goals remain universal and broad, we have taken several significant actions to reduce the number and scope of materials acquired. We have sent more specific and restrictive acquisition guidelines to our overseas dealers and field offices, and have begun closer monitoring of incoming re-

ceipts. We are reducing overlap with the National Library of Medicine through curtailment of acquisitions in subject areas more appropriate for the NLM collections. After reviewing all of our foreign newspaper subscriptions, we canceled 67 titles. We have begun a review of a large number of serial subscriptions which will likely result in the cancellation of multiple copies of some titles as well as titles of lesser research value. We have accelerated our efforts to acquire large retrospective special collections, rare books, and other expensive items through gift and non-appropriated sources.

Question. To provide perspective on your fiscal year 1994 request, how many items were purchased with the appropriation for this purpose in fiscal year 1992?

Answer. In fiscal year 1992, the Library purchased 930,747 pieces at a total cost of \$8,304,329. This dollar figure includes payment of fiscal year 1991 obligations for materials received in fiscal year 1992, and is therefore higher than the \$7.7 million appropriated fiscal year 1992 base.

Question. How many of those materials have been cataloged to the level necessary for usage in the collection?

Answer. Of the approximately 110,000 monographic pieces purchased during fiscal year 1992, we estimate that about 67,200 have completed the cataloging process and are available for use by Library patrons. The remaining items have begun the process but have not yet been completed either because they arrived late in the fiscal year or had lower research priority. (Not all of the items purchased go into the collections and bibliographic titles often include more than one physical piece.)

MACHINE READABLE MATERIALS

Question. You are requesting \$250,000 for reference materials in machine readable form for the general collections and the Law Library. How many requests do you have for reference materials in this format?

Answer. The Law Library's two CD-ROM titles (The Current Law Index and The Martindale-Hubbell Law Directory) are two of its most frequently consulted titles because of the time saved by readers using the more up-to-date and efficient format. Law Library patrons with WESTLAW and LEXIS accounts access those databases directly at their own expense.

Approximately 125,000 queries are made annually in the Constituent Services machine-readable reference materials loaded on CD-ROM networks. Approximately 75 CD-ROM titles exist for law materials. Most information contained therein is available in paper where it can be ferreted out by skilled researchers and law librarians. As our staff shrinks, we have less ability to provide research instruction to individual patrons; shrinking Congressional staffs have less time for research. Machine-readable information shortcuts research by hours; it has the beneficial side effects of removing paper from the processing stream, thereby cutting the growth of rearrange and conserving space.

CD-ROMS received on copyright deposit are located in the Machine Readable Collections Reading Room where, because of short hours and lack of law-trained reference help, they are largely inaccessible to law patrons. Because of publisher restrictions, they cannot now be networked on the Library's mainframe for use throughout Capitol Hill, a necessity for efficient use of this material by Congress and the public. Negotiations between a Copyright-led LC committee and information providers are aimed at a Capitol Hill-wide network for as many popular titles as possible.

Subscription CD-ROMS can be networked on local systems at a price that anticipates multiple access.

Question. Will the purchase of new hardware or the upgrade of existing equipment be necessary to support these reference materials and if so, at what cost?

Answer. The Law Library already has the personal computers necessary for use of machine-readable materials. The only hardware costs we anticipate are relatively low, perhaps \$17,000 for 5 multi-drive CD-ROM readers. If the Law Library's LAN is installed on schedule, even these costs may be saved. Foreign language online systems in non-Roman alphabets may require special software and keyboards, but the cost per workstation is less than \$200.

GEOGRAPHIC INFORMATION SYSTEM

Question. You state that to effectively serve the Congress and the scientific community the Geography and Map Division must make available geographic information system (GIS) software, digital and computer based maps and spatially referenced digital data sets, but you provide no evidence to support that assertion.

How many requests have you had for digital maps, spatially referenced digital data sets, and physical and social science data through geographic information systems? What is your current GIS capability?

Answer. CRS, the House Information System Office and leading commercial vendors (Sun Micrographics, Environmental Systems Research Institute) have expressed interest in having these systems available in the Geography and Map Division.

We are just now acquiring and installing related GIS software and hardware. Consequently, there have been few requests for use of this material other than for demonstration purposes.

Question. Why do you need two additional positions and \$137,215 to create a graphic database?

Answer. An integrated automated bibliographic and graphic database is required to provide access to a core collection of 12,000 map sets consisting of two million map sheets (which represents 50 percent of the Library's map holdings). It is the most comprehensive collection of its kind in existence. Partial access is currently provided by hand-drawn indexes which do not adequately indicate the coverage available for any particular area. This automated database would also serve as an inventory for the collection.

A Program Administrator is required to plan and develop the project, serve as its coordinator and liaison with contractors and vendors, and as project manager. A library technician is required to begin to prepare map series for processing and for inputting data.

FILM PRESERVATION BOARD

Question. How are films selected for the National Film Registry?

Answer. There are three stages—(1) Nominations received from members of the public and recommended film experts; (2) National Film Preservation Board members and alternates discuss possible titles with Dr. Billington and vote on them; and (3) Dr. Billington considers the Board's short list and makes the final selection in consultation with the staff of the Motion Picture, Broadcasting and Recorded Sound Division.

PRESERVATION OF LIBRARY MATERIALS

Question. You are requesting sharp increases for growing workload in three activities under preservation of Library materials: a 16 percent increase for "other services, miscellaneous", an 80 percent increase in "phased conservation supplies", and a 169 percent increase for "subscriptions". Please provide additional justification and the specific factors driving this growing workload.

Answer. The 16 percent increase is to provide contract technicians to prepare special format materials (prints and photographs, manuscripts, maps, sheet music) for filming. The contract staff would act as a temporary "swat team" trained to prepare collections in any format.

Large increases (80 percent) in supplies like boxes, folders, and Mylar envelopes to house collections are necessary because of our success in arrears reduction. These supplies permit the safe handling of collections by researchers using the collections.

The Library has maintained its commitments to produce microfilm "subscriptions" of foreign newspapers to academic libraries only at the sacrifice of other microfilming programs. This 169 percent increase will allow the Library to achieve a balance in the Library-wide preservation program, reduce the expense of shelving newspapers, and improve public access. (The Library films only those newspapers for which no archival-quality commercial microfilm exists.)

COLLECTIONS SECURITY

Question. The plan for enhancing collections security has initiatives to be undertaken over four years (fiscal year 1992-95). What are the major elements and costs for this plan in fiscal year 1994?

Answer. The additional funds needed in fiscal year 1994 total \$2,170,471. Included are the major elements listed below.

Supporting service in a closed-stack environment	\$1,028,700
Adding anti-theft detection "targets" to high-risk items	268,000
Implementing reader registration program	174,000
Installing and operating video surveillance camera	202,000
Establishing and operating cloakrooms for readers	134,000
Inspecting certain special materials before and after use	110,000

Continuing police patrols in reading rooms and stacks	147,000
Total	2,063,700

Question. What additional positions and costs are anticipated in this plan for fiscal year 1995?

Answer. Projected needs for fiscal 1995 total at least \$545,000, including the elements listed below. This is a preliminary estimate.

Cloakroom operations	\$114,000
Piece Identification Number (PIN) labels	135,000
Additional staff for adding anti-theft targets	95,000
Anti-theft targets	135,000
Internal charge forms	10,000
Photocopying machine rental (FETCH stations)	6,000
Caging for stacks/storage areas	50,000
Total	545,000

Question. Additional funding needs are projected for fiscal 1995, but cannot yet be estimated, for additional police officers (if the Library and Capitol forces do not merge in the interim), one or more Collections Security Officers, and supplies for the reader registration program.

Forty five new positions are requested to handle increasing workload to implement collections security measures. Can you prioritize those positions?

Answer.

Priority 1.—16 positions to meet increased deck workload due to restricted stack access. Justification for making this number 1—program already committed and implemented;

Priority 2.—8 positions to automate internal circulation records. Justification—effective online tracking is critical to security. Inherent in any security program is knowing what you have, and where it is at any given time;

Priority 3.—6 positions to implement photo ID program. Justification—committed to program if approved. Equipment will be in place;

Priority 4.—6 positions to support automated book delivery and charging. Justification—increased demand on the automated book paging and circulation systems resulting from tightened security measures;

Priority 5.—7 positions to install book theft detection targets. Justification—with a book theft detection system in place and 25 million items requiring protection, it is critical to establish a team which has as its primary responsibility installation of targets; and

Priority 6.—2 positions to provide additional searching assistance. Justification—increased need for direct reader/staff assistance because of restricted stack access.

Question. How will the program be affected if only the top priorities are funded?

Answer. If only Priorities 1 and 2 are funded, the success of the Library's security program will be compromised; fewer targets will be installed, and an adequate reader identification program will be delayed, and individual researcher and staff needs will not be met because the Library will not be able to support adequately existing automated systems nor conduct special searches.

READING ROOMS

Question. How many people use the reading rooms after 5:00 p.m.? How many people use the reading rooms on Sunday? If a 56 hour schedule is necessary, what would be the reading room hours? Do you have any idea how many users these reduced hours would affect? How would reduced hours affect positions?

Answer. Between 125 and 150 readers, on average, use the Constituent Services reading rooms after 5 p.m. daily.

On average, 500 readers use the Constituent Services reading rooms on Sunday.

If a 56 hour schedule is necessary, the Library would eliminate Sunday hours. Further reductions in hours will be based on maximizing the budgetary savings and minimizing the impact on readers. Options which would be considered include: closing two additional evenings, closing one weekday, and/or delaying the daily opening of the reading rooms, among others.

The number of users affected by reduced hours would depend on the actual hours reduced. On average, 500 readers use the Constituent Services reading rooms on Sunday. Between 125 and 150 readers, on average, use the Constituent Services reading rooms after 5 p.m. daily. As stated previously, if a 56 hour schedule is necessary, the Library would eliminate Sunday hours. Further reductions in hours will be based on maximizing the budgetary savings and minimizing the impact on read-

ers. Options which would be considered include: closing two additional evenings, closing one weekday, and/or delaying the daily opening of the reading rooms, among others.

If reading room hours are reduced to below the current level of 68.5 hours per week in fiscal year 1994 because of insufficient funding, Constituent Services will have to reduce its staffing level by an additional 19 (FTE) positions. This reduction will be accomplished through attrition, by not renewing temporary appointments and otherwise reducing the level of hours allowed for our special and temporary staff, and where possible by transferring staff to other areas in the Library. We would strive to reduce the staffing level within the time allowed without implementing a reduction in force.

HUMAN RESOURCES

Question. You are requesting \$1,084,690 for nine new positions to address problems identified in the Library's competitive selection process as a result of the Cook case.

Answer. We have actually requested \$1,084,690 to fund nine new positions and 12 existing positions. Funding for 12 existing positions is needed in Human Resources Operations. Of those, 9 are currently filled and funds are requested to offset a projected salaries and benefits deficit of \$437,000. If those funds are not approved, it will be necessary for Human Resources to reduce its staffing level by abolishing those 9 filled positions and running a reduction-in-force. Such a reduction in staffing level would have a severely negative impact on the delivery of all services: posting jobs, hiring new employees, processing promotions and awards, resolving labor relations issues, making determinations on classification actions, counseling employees, training employees, and providing health insurance/retirement benefits advice. In addition, it would make it impossible for the Library to move forward with its plans to revamp employment practices to ensure equity in the competitive selection process; to administer employee pay and benefits with sufficient accuracy and timeliness; or to meet the needs of managers and supervisors arising from daily operations.

Funding for the other 3 existing positions—\$175,000—is requested in order to maintain a minimally acceptable level of service: 1 Team Leader position to oversee human resources services provided to Constituent Services and Cultural Affairs service units; 2 Human Resources Specialist positions to remedy understaffing problems in Human Resources Operations where there has been an increase in staffing workload since 1989.

Of the new positions requested, the 6 Human Resources Specialists will reside in the Human Resources Directorate where they will perform the full range of personnel duties, including qualifications analysis and job analysis as part of new standard operating procedures. The remaining 3 new positions will reside in the Affirmative Action and Special Programs Office where they will be involved in directing comprehensive efforts to employ individuals of diverse backgrounds; in evaluating the Library's employment program at the critical stages of the competitive selection process; and in conducting statistical, disparate impact analyses.

It is not possible to use current staff to perform the duties of these 9 new positions because of the highly specialized nature of the work involved and the level of expertise required. Of equal importance is the fact that the Library's new approach to its competitive selection process is labor intensive and can be achieved only through these additional permanent resources.

Question. How has the Library responded to that case? What is your time frame for revamping the Library's selection practices?

Answer. Since the court issued its finding, the Library has developed a comprehensive plan to revamp its employment practices so that equity is ensured in all stages of our competitive selection process.

The date for completing this process was January 21, 1993, and we met that date.

Question. Why are the additional positions requested permanent positions?

Answer. The tasks of qualifications analysis and job analysis are part of the ongoing work of developing an equitable and comprehensive human resources system for the Library of Congress. There has been no increase in staffing in HRD since 1989, yet both the ongoing work and the new initiatives have increased the workload of the existing staff.

OFFSITE STORAGE

Question. Congress approved \$3,186,000 last year for the rental or purchase and outfitting of a warehouse and book storage facility away from Capitol Hill to meet critical storage requirements.

What is the status of acquiring that additional space? Once acquired, how long will it take to properly outfit the space for occupancy? Will it be immediately utilized?

Answer. Instead of leasing and outfitting warehouse space to accommodate the Library's near-term collections storage needs away from Capitol Hill, the Library now hopes to acquire some 200 acres of land at Woodbridge, Virginia, from the Department of Defense and use the approved no-year funding to construct a high density storage facility. Additional modules would be constructed in future years as needed.

It is hoped that the initial storage module could be completed and ready for use early in 1995.

Yes.

Question. What are your long-term plans for additional storage space?

Answer. While the Library will have to make some difficult and temporary adjustments to relieve collections crowding and accommodate growth until the new facility is ready, this plan does leave the advantage of affording an opportunity to concentrate the Library's remote storage needs in one location for many years to come.

CONGRESSIONAL RESEARCH SERVICE

Question. The cost of subscriptions in fiscal year 1994 in non-personal services is the greatest increase over fiscal year 1993 in your requested budget. Can you reduce this through resource sharing with other parts of the budget?

Answer. CRS uses Library collections extensively and we are always seeking new or expanded ways to share resources. In some cases, we are able to find some materials in the Library's surplus materials, avoiding purchase. Some serials (which do not have a critical time requirement) are routed through CRS before they go to the Library's Serial Division. However, many Library subscriptions are not received fast enough to be useful to CRS—we cannot wait 3 to 4 months for copyright deposits to be available for use. In addition, we need to clip materials for the Main Files and for scanning in the optical disk public policy literature file so they can be reproduced on demand for congressional requesters. We could not use materials in the Library's collections for these purposes. Last year, we clipped almost 125,000 articles for the Main Files; and 5500 congressional users used more than 7,000 of these Main File folders in the LaFollette Congressional Reading Room.

As the Library acquires more materials in electronic format, there may be opportunities to use these materials and reduce some subscriptions, as long as the electronic versions are available as quickly as paper. Acquisition and dissemination of this material is one of the objectives of the Library's strategic direction outlined in the Electronic Library of the Future. While this may result in some reduced need for purchase of paper subscriptions for CRS, it may not result in decreased costs, as methods for reimbursing copyright holders and publishers may be required.

The funding requested in fiscal 1994 is sufficient to maintain the subscriptions currently in force. In fiscal 1993 we cut 18 percent of the subscriptions received the previous year in order to absorb the increased cost of the most essential research and reference materials as no funding for inflationary increases was provided that year.

Question. CRS staff has regularly provided increased response to growing Congressional workloads with very little or no increase in staff or resources. At what point do you project this will no longer be possible, if it is not already?

Answer. We have reached that point now. We have been able to absorb workload increases in the past, while maintaining and improving the analytic content of our work, because we have been committed to maintaining a balance between staff and the nonpersonal resources which make them effective. We have been engaged in strategic planning and management for the past four years in order to help us set priorities and assure that resources are directed at the highest priority work and that we are planning and building for future capacity. That balance is seriously threatened by the possibility that mandatory costs might not be funded next year. We have managed to get through this year by freezing temporarily many of the very things which have made us successful. To do so in succeeding years will erode our capacity to maintain services.

Specifically, there are a number of things which enable us to stay responsive. Budget permitting, we regularly seek to: (1) evaluate and modify what we are doing to assure that we have the right product mix to meet congressional needs; (2) improve the methods of acquiring information and producing and delivering reports and other products; (3) invest in technology improvements to improve productivity; (4) invest in automated and printed resources to assure that staff have rapid access to the most extensive and appropriate information sources necessary to be responsive to Congress; (5) invest in staff training and development to assure that our per-

manent staff have the strongest skills to provide analytic and information services; (6) fill positions vacated by senior and experienced staff with energetic and exceedingly bright recruits from some of the nation's best graduate public policy programs and then invest in them over a period of years in order to build the expertise we lost through retirements and resignations.

Question. Update us on the status of the Japan Task Force and the Japanese Documentation Center.

Answer.

Japan Task Force.—Over the past year, CRS work for Congress emphasized connecting U.S.-Japan policy issues with root concerns about U.S. domestic well being, including the competitiveness of U.S. industry. We produced a significant number of products for Congress during this period, including the following:

- We produced or updated 33 products dealing with Japan or issues in Japan-U.S. relations—CRS Reports, Issue Briefs, bibliographies and committee prints.
- CRS bibliographers in the Library Services Division added to the Public Policy Literature database more than 540 citations to new articles, government documents and other studies in English or English translations.
- More than 1,700 copies of documents on topics related to Japan-U.S. issues were provided to congressional requesters.
- We held three seminars on timely and future-oriented topics: (1) the changing role of big business in Japan; (2) U.S. domestic policy and international competitiveness (with reference to Japan and Germany); and (3) the U.S.-Japan auto trade. The seminars featured both CRS analysts and prominent outside authorities reflecting a broad range of expertise and schools of thought.
- We produced a Ways and Means Committee Print of the proceedings of a September 1991 CRS seminar on the Future of United States-Japan relations.
- We have emphasized a multi-disciplinary and multi-divisional approach to analysis of issues related to Japan whenever feasible. Analysts from three divisions participated in a Public Policy Institute course on the challenges and opportunities in U.S. policy towards Japan and a broader PPI course on East Asian policy challenges.
- CRS also updated the highly successful Japan-U.S. Relations Briefing Book which features more than thirty authors from seven divisions.
- The growing CRS expertise on U.S.-Japan issues was visible in the participation of our analysts in a number of congressional committee hearings and special briefings. In April 1992 five analysts from the Economics Division conducted a public briefing for two subcommittees of the House Foreign Affairs Committee on U.S. economic interests in Japan and Asia. In May 1992 six analysts from the Economics and Environment and Natural Resources divisions briefed the same subcommittees on U.S. trade agreements with Japan. On July 25 an analyst from the Foreign Affairs and National Defense Division testified as one of three expert witnesses at a Joint Economic Committee hearing on Japan and Asia.

Japanese Documentation Center.—The Japanese Documentation Center (JDC) was established in response to a congressional directive to review and improve the Asian collections, particularly those from Japan. The JDC will provide timely information on a wide range of public policy and research issues, including commerce and industry, the environment, politics and national defense. The Center will serve needs of the Congress, first and foremost, and also of other Federal agencies, university and independent research libraries, American businesses and the public.

The JDC will have two operating offices, the Japan Documentation Center in Washington, and the Tokyo Acquisitions Facility in Tokyo. Both organizations are presently being staffed and equipped:

- The JDC in Washington is located in the Library's Asian Division, and is responsible for: (1) responding to congressional requests and those from other users for these materials and translations; (2) supervising the acquisitions activities of the Tokyo Acquisitions Facility and establishing procedures for cataloging, storing and retrieving publications; and (3) assisting American researchers in the use of Japanese policy information through seminars, conferences and publications. The Center will be staffed by 2 individuals initially—the Head of the Center, and a technician. When funds are available a librarian/translator will be added.
- The Tokyo Acquisitions Facility is responsible for acquiring materials from governmental and other noncommercial sources and providing preliminary bibliographic control. It will have a staff of three—a director, a librarian and an administrative assistant, all under contract to the Library of Congress. Materials will be selected by specialists selected by and responsible to the Library. Documents will be sent to Washington and evaluated for usefulness and potential

congressional interest. Highest priority items will be translated and scanned into the CRS optical disk system.

The JDC will be governed by a Library Steering Committee, and an outside advisory committee appointed by the Librarian. This advisory committee will advise on the priorities and methods for distribution of knowledge about the JDC and materials to major research libraries in the U.S. The members, who are expert in information and resources about Japan, are active in library and information networks. They are: Carol Gluck of the East Asia Institute at Columbia University, Hideo Kaneko of the East Asia Collection at the Yale University Library, and Elizabeth Stroup, City Librarian of the Seattle Public Library. The Advisory Committee will meet when the JDC is in operation later this year.



GOVERNMENT PRINTING OFFICE

STATEMENT OF MICHAEL F. DIMARIO, ACTING PUBLIC PRINTER

ACCOMPANIED BY:

WAYNE KELLEY, SUPERINTENDENT OF DOCUMENTS
TOM MULDOON, DIRECTOR, PLANNING
JIM JOYNER, DIRECTOR, CUSTOMER SERVICE
BURKEY BOGGS, DIRECTOR, PRODUCTION SERVICES
TONY ZAGAMI, GENERAL COUNSEL
JIM SMITH, MANAGER, PRINTING PROCUREMENT DEPARTMENT
VINCENT ARENDES, CHIEF FINANCIAL OFFICER

PREPARED STATEMENT

Senator REID. And for the patient Government Printing Office, the final witness this morning is Michael DiMario, the Acting Public Printer. Mr. DiMario will be defending the budget request of the Government Printing Office. The Government Printing Office is requesting \$128.7 million; this is an 8.5-percent increase over the amount available for 1993.

Mr. DiMario, your prepared statement will be placed in the record.

[The statement follows:]

STATEMENT OF MICHAEL F. DiMARIO

Mr. Chairman and Members of the Subcommittee, my colleagues and I are pleased to be here today to present the funding requirements necessary to carry out the responsibilities of the Government Printing Office (GPO) for fiscal year 1994.

APPROPRIATIONS REQUEST

For fiscal year 1994, I am requesting \$128.7 million for those programs that require appropriations directly to GPO. This is an increase of approximately \$10 million, or about 8 percent, over the funds approved for fiscal year 1993. The request for fiscal year 1994 would be the first overall increase in the two-year period from fiscal year 1992. The request consists of \$95 million for the Congressional Printing and Binding Appropriation and \$33.7 million for the Salaries and Expenses Appropriation of the Superintendent of Documents.

CONGRESSIONAL PRINTING AND BINDING APPROPRIATION

Our request for the Congressional Printing and Binding Appropriation represents an increase of approximately \$5.4 million, or 6 percent, over the funding approved for fiscal year 1993. Compared to the fiscal year 1992 appropriation, the request is an increase of 3.7 percent over the two-year period.

Price Level Increases.—Approximately \$3.8 million is necessary to provide for recovery of current services costs, including full cost recovery for GPO's employees detailed to Congress. GPO has held the line on price increases since January 1990. However, GPO's Central Office in-plant printing operation is currently operating at a loss. Therefore, some adjustment in prices may become necessary to recover that part of the mandatory increases in labor and other costs that cannot be absorbed through increased production efficiency and cost-saving initiatives.

Workload Increases.—To fund projected workload increases for fiscal year 1994, an additional \$1.6 million, or 1.2 percent, is requested. This estimate is based on historical workload trend analysis.

An increase of approximately \$2.3 million is requested for a projected additional 5,000 pages of the daily Congressional Record. Over the long term, savings can be realized through the development of new electronic products. An on-line version of the daily Congressional Record is presently under development with funding provided for the current year. For fiscal year 1994, an increase of \$727,000 is necessary for the development of additional electronic products and services. Workload increases are also projected for Hearings (\$318,000), Document Envelopes and Document Franks (\$132,000), and Business and Committee Calendars (\$85,000). These workload increases are partially offset by projected workload decreases totaling \$2.1 million, primarily for Committee Prints, Miscellaneous Publications, and Miscellaneous Printing and Binding.

Prior-Year Shortfall.—The cumulative shortfall in the Congressional Printing and Binding Appropriation at the end of fiscal year 1992 is estimated at \$24,936,000. The request for fiscal year 1994 includes funding of the recognized shortfall in previous years at the level provided for fiscal year 1993. This calculation is in accordance with the multi-year approach established by GPO in fiscal year 1992, in consultation with the Committees on Appropriations, for reimbursement of the shortfall. With our present workload assumptions and current annual funding, we expect the shortfall to be reduced by \$7 million by the end of fiscal year 1994.

Last year, the Committees on Appropriations stated in report language that all work requested by the Congress should be completed on a timely basis without addition to the shortfall. By law, GPO is required to charge appropriations for the cost of services provided. Every effort within the control of GPO will be made to avoid any future additions to the shortfall, including a continued emphasis on cost-effective utilization of production capacity, modernization of equipment, increased standardization of products, and reduced overhead. However, to the extent that unanticipated mandatory costs are incurred, or that actual workload may increase over projected levels, charges to the Congressional Printing and Binding Appropriation may raise the total cost of Congressional printing over the amounts appropriated for a particular year.

SALARIES AND EXPENSES APPROPRIATION

Our request for the Salaries and Expenses Appropriation of the Superintendent of Documents for fiscal year 1994 represents an increase of \$4.6 million, or about 16 percent, over the funding approved for fiscal year 1993. The total amount includes \$29,070,000 for distributing publications to depository libraries; \$2,956,000 for cataloging and indexing Government publications; \$815,000 for distributing publications to International Exchange Program libraries; and \$866,000 for distributing by-law copies of publications. We are requesting authorization to use a portion of these funds, not to exceed \$2,000,000, for producing and disseminating Congressional Serial Sets and other related Congressional/non-Congressional publications for 1991 and 1992 to depository and other designated libraries. Of the total increase requested for fiscal year 1994, \$4,043,000, or 87.5 percent, is associated with the Depository Library Program.

Workload Increases.—As this Subcommittee is aware, the workload associated with the programs funded by the Salaries and Expenses Appropriation results from publishing activities outside GPO. GPO exercises little control over the volume of incoming work. An increase of \$3.5 million is requested to cover anticipated printing and distribution requirements for fiscal year 1994. The majority of this amount is for producing and disseminating Congressional Serial Sets and other related publications for 1991 and 1992, for conversion to microfiche of the bound Congressional Record for years 1985 to 1993, for contractual cataloging support, and for providing publications to an anticipated 14 new depository libraries.

GPO's goal is to increase public access to Government information through Superintendent of Documents programs. Accordingly, we have reviewed printing and binding expenses in an effort to optimize the service that can be delivered to depository libraries within available resources. In order to maintain the widest possible range of publications for selection by the depository libraries, GPO has focused first on improvements in internal operating systems and productivity, such as those achieved through the new Acquisition, Classification and Shipping Information System (ACSIS) and enhancements to the mail manifest system that optimize postage utilization.

Additional reductions in printing and binding costs have been sought through the elimination of duplicative distribution; reductions in claims copies; and the utilization of alternative formats, such as microfiche and CD-ROM discs, when they are more cost effective than paper. These management actions maintain the information content of the publications we distribute, although not necessarily in the currently

available range of formats. This year, for example, we have limited distribution of hard-bound Congressional Serial Sets, beginning with the First Session of the 102d Congress, to regional depository libraries, with the initial paper and microfiche editions continuing to go to other libraries that select it.

Price Level Changes.—A 3–4 percent increase in prices is projected for fiscal year 1994. The total increase for price level changes is estimated at \$875,000. The largest portion of the increase, \$663,000, is for the increased expense associated with depository and other printing. Postage and contractual mail services are not expected to increase.

Mandatory Pay and Related Costs.—An increase of \$243,000 is requested to fund mandatory pay and related costs associated with wage agreements and salary adjustments.

Status of Pilot Projects.—In 1987, the Joint Committee on Printing (JCP) directed GPO to test the feasibility and practicality of disseminating Government publications to depository libraries in electronic formats. In 1988, GPO and the JCP identified five candidates for pilot projects, representing a variety of agencies, types of databases, and technologies. A plan for the operation of the pilot projects was approved in 1989. All of the projects were covered by available funds. At the request of this Subcommittee, the pilot project plan included the provision of technical assistance by the General Accounting Office in the implementation, data collection, and evaluation of the pilot projects.

All of the pilot projects are expected to be completed by the end of this coming summer and a final summary report should be issued by the end of 1993. A report on the Congressional Record CD-ROM project was delivered to the JCP in December 1992. Copies are to be distributed to all depository libraries. The report indicated general acceptance of a CD-ROM version but there was dissatisfaction with the prototype, including the particular software used and the ease of finding information. Reports on the other four projects will be issued no later than this summer.

PROPOSED APPROPRIATIONS LANGUAGE CHANGES

Alternative Formats.—We are requesting language to clarify current authority under GPO's Revolving Fund and the Congressional Printing and Binding Appropriation to replicate and disseminate Government information in any format. This change would clarify Congressional intent that GPO's role in providing Government information extends beyond traditional ink-on-paper to include replication and dissemination in other formats made possible by technological advances, such as CD-ROM and on-line database transmission.

Retirement Incentives.—We are requesting statutory authority to allow GPO's Revolving Fund to be available for retirement incentive payments to employees. This authority would allow the payment of such incentives where GPO determines that employment is in excess of the needs of the Government and normal attrition or other available means to reduce the workforce are not considered timely or effective. This authority would be used with the consultation and approval of the JCP.

Flexible Work Schedules.—We are requesting the elimination of the present Revolving Fund language restricting the use of flexible or compressed work schedules to allow GPO to take advantage of workforce scheduling options. Expanding the hours of service available to our customers, and matching workforce availability more closely with workload variability, would afford opportunities to reduce costs and increase responsiveness. This legislative change would allow GPO to open discussions with affected employees and their representatives on possible work schedule changes.

Retention of Sales Receipts.—We are requesting an administrative provision to eliminate the current requirement in Title 44, U.S.C., that excess receipts from sales of publications be returned to the Treasury. This change would place GPO's Sales Program on the same funding basis as all other GPO programs administered through the Revolving Fund. Making all receipts from the sale of publications available for program operations and working capital requirements would be in keeping with Congressional intent underlying GPO's Revolving Fund mechanism that finances this particular program.

Mr. Chairman, this concludes my prepared statement. I would be pleased to answer any questions the Subcommittee may have.

BUDGET REQUEST

Senator REID. I would like you to summarize your statement, and we will proceed to questions. Senator Mack will not be able to stay for the full time, but we will report to him on how the hearing

goes. We appreciate your patience. We thought that the Library would take a shorter period of time than that.

Mr. DiMARIO. Thank you, Mr. Chairman.

Mr. Chairman, Senator Mack, my colleagues and I are pleased to be here today to present the funding requirements necessary to carry out the responsibilities of the Government Printing Office for fiscal year 1994.

With me are the Superintendent of Documents, Wayne Kelley; the Director of Planning, Tom Muldoon, to my right; the Director of Customer Service, Jim Joyner; the Director of Production Services, Burkey Boggs; the General Counsel, Tony Zagami; the manager of GPO's Printing Procurement Department, Jim Smith; and the Chief Financial Officer, Vincent Arendes, who is responsible for the budget before you today that was presented on the House side by the former Public Printer Mr. Houk.

Mr. Chairman, there has been a recent change in the leadership of the GPO. Robert Houk, who was appointed as Public Printer by President Bush, resigned last Friday, February 19. Before doing so and at the request of the White House, he appointed me Deputy Public Printer. Under the provisions of title 44 of the U.S. Code governing the resignation of the Public Printer, I'm now serving as Acting Public Printer.

Due to the recency of this action and in the interest of complying with this subcommittee's hearing schedule, I submitted the prepared statement on GPO's appropriation request that was compiled by the previous GPO administration. I feel that it adequately describes our appropriations request. However, it does not provide you with my views on the operation of GPO which, with your permission, I would like to state briefly at this time.

In the last few days, I have had several meetings with organizations and officials interested in the future of the GPO. These have included the Joint Committee on Printing staff; the staff of this subcommittee, Mr. Bonham, specifically; representatives of the Printing Industries of America; the unions representing the employees of GPO; and GPO managers.

From these meetings and from my own experience at GPO, I have determined the course GPO needs to follow in the coming period. That course can be summed up in one phrase: There is an absolute necessity for change at GPO. This change is essential to reduce the costs of products provided to Congress and Federal agencies. I fully recognize the intent of Congress to reduce its costs in concert with the President's plan to cut Federal spending. GPO will do its part to help achieve these goals.

Over the past several years at GPO, administrative and support costs have kept dragging the costs of our products and services upward. We are going to change that. I pledge to review all administrative costs thoroughly and make the changes that are necessary to reduce them.

Some of these changes may be tough. We are looking at organizational realignments to improve the delivery of administrative services and to provide opportunities for downsizing. If necessary, we will look at additional downsizing measures, especially in the upper management areas.

In addition, we are going to take measures to reduce as much as possible the conditions at GPO which lead to EEO grievances and labor grievances and other problems. This will reduce the need for and the cost of the administrative systems that are designed to address these problems.

I intend to return the focus of GPO management to the people who do the work at GPO. In recent years, management has forgotten that it's not machines alone, but skilled and dedicated employees who provide the products and services required by Congress, Federal agencies, and the public. Their ideas for improving GPO haven't been listened to. The employees need to have a voice in decisionmaking at GPO, and they will have one.

Finally, I intend to work very closely with the Joint Committee on Printing, the Appropriations Committees, and Congress to ensure that GPO provides all the products and services Congress needs at a cost that is reasonable and justifiable. Although required by law to serve the entire Federal Government, Congress is GPO's primary customer. I fully recognize that, and will manage GPO accordingly.

Mr. Chairman, as our prepared statement says, for fiscal year 1994 we are requesting \$128.7 million for those programs that require appropriations directly to GPO. This is an increase of approximately \$10 million, or about 8 percent, over the funds approved for fiscal year 1993. Our request consists of \$95 million for the congressional printing and binding appropriation and \$33.7 million for the salaries and expenses appropriation of the Superintendent of Documents.

Our request for the congressional printing and binding appropriation represents an increase of approximately \$4.5 million, or 6 percent, over the funding approved for fiscal year 1993. Approximately \$3.8 million of that amount is necessary for the recovery of current services costs. The balance of \$1.6 million is to fund projected workload increases and continue work on the development of electronic products and services for Congress.

Our request for the salaries and expense appropriation represents an increase of \$4.6 million, or about 16 percent, over the funding approved for fiscal year 1993. Approximately \$3.5 million of the increase is needed to cover anticipated printing and distribution requirements. The balance is for projected price-level changes and mandatory pay and related costs.

As a former Superintendent of Documents, I'm well aware that GPO's recent actions with regard to the depository library program have been the subject of much discussion. I assure you that GPO will continue to work with the Joint Committee on Printing, the library community, and the Appropriations Committees to resolve this issue in a manner that limits the impact on the depository library community, and that does not interrupt the flow of Government information that is essential to depository library users.

Our appropriations request also includes several language changes. One of these is a request for statutory authority to provide retirement incentive payments to GPO employees.

While this authority is needed as a potential tool, I do not intend to use it unless it becomes absolutely necessary. There are a variety of mechanisms for achieving a reduction in GPO employment.

In view of GPO's current financial condition, I would not utilize retirement incentive payments until other options have been exhausted.

Mr. Chairman, I thank you again for the opportunity to appear before you. I look forward to working with this subcommittee in the effort to make the necessary changes at GPO. This concludes my opening statement, and my colleagues and I will be pleased to answer any questions the subcommittee may have.

Senator REID. That's a very fine statement.

Mr. DiMARIO. Thank you.

SALARY FREEZE

Senator REID. You understand there is probably going to be a freeze on Government salaries?

Mr. DiMARIO. Yes, sir.

Senator REID. What would that do to your budget, if there were a freeze?

Mr. DiMARIO. One part of the freeze that would be questionable in my mind is the application of that freeze to negotiated wages, because we have negotiated contractual rights, and you may have constitutional issues on the rights of employees to their pay.

But absent that consideration, a reduction of about 2 percent—

Senator REID. I think that's an interesting question, what the President's suggestion and subsequent law would do to contracts that are negotiated. I'm sure that's happened before.

Senator MACK. We have been in situations where that has occurred.

Mr. DiMARIO. Absent that consideration, there may be an approximately \$2.2 million impact on the congressional printing and binding appropriation. That would essentially represent a budget decrease from what we are asking to \$92.8 million, roughly.

And depending upon the final cut percentage that we would actually receive, any level of funding below the 1993 base that we started with would represent a financial hardship on GPO, unless those cuts were solely for true congressional volume reductions because we still of necessity would have to produce those congressional products, and we might not be able to have the work force to do that.

Senator REID. If you have a freeze in salaries, that would have nothing to do with the production capabilities.

Mr. DiMARIO. Yes, sir; that's correct. But the work force that's in place that produces the Congressional Record negotiates their wages, and those agreements are in place.

Senator REID. We are going to check that out.

Mr. DiMARIO. Congressional demand in 1992 was \$92.9 million, and the appropriation was \$91.6 million. And then last year, as you know, we had \$2 million shifted to the depository library program. So we had that consideration out there, but that, as a preliminary statement, is basically the impact on the production side of GPO.

Senator REID. Tell me how long you have been at the GPO.

Mr. DiMARIO. I have been there 20 years.

VARIATION IN CHARGES

Senator REID. You understand the institution. We received numerous reports from the congressional and support agencies about the variance that GPO charges for comparable types of work.

Mr. DiMARIO. Yes, sir.

Senator REID. We are told that the costs of publishing comparable documents may vary as much as 45 percent. How do you explain this?

Mr. DiMARIO. I'm not aware of any variance of that magnitude, but we would like to answer both this question and the first question and expand on them for the record, if we may. But as a preliminary statement, my sense is that the prepress costs may vary significantly, based upon how the data is originally captured, whether the data is provided by manuscript, camera-ready copy, or dial-up composition, the costs may be different as between each of those.

[CLERK'S NOTE.—See questions and answers on p. 296.]

Mr. DiMARIO. Second, the amount of major alterations in a particular document and the number of times a document is shipped back and forth between GPO and the entity in Congress that has requested it will also affect the final cost.

And last, the timing of work is very significant. If the work was done, say, in July after a negotiated craft pay wage went into effect, the cost of the product could be different by the amount of the pay raise.

ORGANIZATIONAL ALIGNMENT

Senator REID. Now, the Government Printing Office provides printing service for the entire Federal Government, in addition to providing congressional printing and binding. That's true, as I understand it.

Mr. DiMARIO. Yes, sir.

Senator REID. The GPO has about 5,000 employees, and the employees are considered employees of the legislative branch and always show up in the total cited by critics of Congress.

Tell me whether you think it would be a good idea to make GPO an executive branch agency while maintaining a highly efficient and, of course, small technologically advanced congressional printing office to produce the Congressional Record, hearings, and other congressional documents.

Mr. DiMARIO. Again, this is a question I prefer to expand on for the record, but as a general conclusion, I would say I don't believe that it is a sound idea. My sense is that the cost to the Congress would not diminish significantly by making that kind of move and, perhaps, would even increase.

[CLERK'S NOTE.—See questions and answers on p. 296.]

Mr. DiMARIO. There are offsets to the cost that the Congress bears for maintaining a technologically current capability at GPO and to provide future capability. To the extent that we are able to have executive branch products in there and to charge for those services, we can maintain that technological base. As an example, our presses are used by the same crews. We use the same pieces of equipment to provide both the Congressional Record and the

Federal Register. Those are two products, one for each branch, that just come to mind.

ELECTRONIC TECHNOLOGIES

Senator REID. Let me ask you another question. With the proliferation of sophisticated means of electronic publication and, of course, dissemination of documents, tell me why there is a need for the GPO. I don't know. I'm asking.

Mr. DiMARIO. My own belief is that, while there are these sophisticated changes that are talked about, and they are occurring, and we are looking at them and moving in that direction ourselves, the current demand for printed documents is there and will remain in the future. And an agency like the GPO needs to be around not only for the near term but probably for the foreseeable future, notwithstanding the changes in technology.

I think you will see a diminishing demand for the printed product, but it will not be so significant that you can do away with it.

Senator REID. Would it be just as cost effective to allow agencies to acquire these new technologies and handle their own publishing requirements?

Mr. DiMARIO. My personal view is that it would not be. You would see a proliferation and duplication of equipment in the executive agencies, and as a result, you would have increased costs that the taxpayers would have to bear. And perhaps you would see a smaller cost to the Congress itself, but the taxpayers would, in total view, have to pay a much higher cost.

ARCHITECT OF THE CAPITOL

Senator REID. Why is the Architect of the Capitol considered congressional printing and the Library of Congress is not?

Mr. DiMARIO. I cannot speak to that question off the top of my head. I believe the Architect's requirements are so small in volume that that might be the specific reason, that they only account for some \$189,000 in actual expenditures through the GPO, whereas the Library of Congress' expenditures, I believe, would be significantly larger.

DESKTOP PUBLISHING

Senator REID. The Secretary of the Senate testified a day before yesterday that desktop publishing has the capability in saving substantial amounts compared to what the GPO charges. You may not be able to respond to that fully, but I would like you to elaborate on that.

Mr. DiMARIO. I'm aware of the Secretary of the Senate's concerns, and I have some knowledge that the Assistant Secretary is directly concerned, also. My intention is to meet with both over that concern.

I think, in the long haul, some of those changes in technology toward desktop will result in significant cost reductions, but I do not believe that they have presently fully implemented what is called for to have that system reflect a cost reduction that is significant. There are minor cost reductions that are reflected currently, but I think a more elaborate answer would be appropriate to you, also.

[The information follows:]

An important aspect of issues relating to "desktop publishing" is its perceived definition. GPO deliberately refrains from use of the term because it means so many different things to so many people. It connotes the use of a plethora of incompatible, proprietary, display-oriented, software packages, which are normally micro-computer-based. They are used to create hard-copy output on specific categories of work. GPO uses them effectively, even extensively, in its Typography and Design and Electronic Job Composition Section operations on jobs which do not require an electronic database for subsequent uses. They are predominantly interactive in nature and depend upon operator intervention for most page make-up decisions. Because of this, their per-page costs are considerably higher than those which result from processing data through an Automated Composition System.

For the bulk of GPO's work, which requires transportation of data from one publication to another, volume and schedule requirements are such that virtually none of these systems would prove practical or economical. Our constant review of the rapid advances being made in the computer and communications industries has convinced us that the most appropriate avenue to pursue is the configuration of a system which will provide capabilities superior to "desktop publishing" in economy of operation. The system envisioned will accomplish hard-copy output, while meeting other, equally important objectives. Hard-copy output is the only final product of the majority of those software packages. The computer files used to produce that output are unsuitable, without extensive manipulation, for use in other publications of differing typographical format or for use in information dissemination/retrieval via electronic media.

Recognizing the potential for massive Federal-sector savings, GPO began to rewrite its composition software in 1986 to permit its operation on microcomputers. Its output is in the PostScript page description language, which is universally recognized as a de facto industry standard. Use of this Automated Composition System (MicroComp) produces fully made-up pages in over 3,000 different and complex page formats. Because input to this system consists of a logically-structured, unambiguously coded, full text database, GPO's product line is expanding. Government agencies and firms in the private sector now purchase these databases to serve as input to their information retrieval systems. They have also purchased the Automated Composition System for processing these databases.

GPO's Production Department anticipates that the full text database structure (though methodology is expected to change) will be the vehicle by which the Federal Government—through GPO operations—eventually automates its information dissemination capability to the extent necessary to permit discharging its obligation to make its information readily available to all the taxpayers who require it.

Promulgation of Federal Information Processing Standard No. 152 (effective March 31, 1989) adopted Standard Generalized Markup Language (SGML) as a Federal standard for describing documents to be used in office document processing, interchange between authors and between authors and publishers, and publishing. The language provides a coherent and unambiguous syntax for describing the elements within a document.

To garner the potentially massive economies throughout the Federal sector, common sense dictates that an acceptable standardized data structure is employed, which begins at the authoring level and remains usable throughout the publishing processes, whether publishing in electronic or traditional printed format. Use of the same data in publications of differing format, without the need for manipulation, must be a primary consideration.

It is believed that gradually the full text database (soon to include even image data) will become the primary product that GPO produces. It is also believed, that eventually, retrieval systems will rely on the data element tags that define the structure of the database. Depending on the question put to the retrieval system, the answer may be a few numbers or it may be several pages of textual and tabular matter. If it is a few numbers, a terminal presentation could be preferred. If, however, the answer contains several thousand characters of data, attractively composed pages on paper are viewed as more appropriate. Since the composition system is process-bound, it is important that it reside on the workstation. If used in conjunction with retrieval, it must be able to process the portion of the database exported to it by the retrieval system to produce the fully made-up pages in a totally automated manner. MicroComp presently possesses these capabilities. When Federal-sector electronic information retrieval systems proliferate in the future, this will be one of the most important tasks that MicroComp performs.

COPIES OF BILLS AND REPORTS

Senator REID. The committee was apprised that almost 300 copies of each House-passed appropriations bill and report are provided to the Senate Appropriations Committee. Of course, many of these are never used. After the House bill is reported, there is also delivered another set of copies of the Senate bill, which is the House bill with a different cover.

Wouldn't it be better to reduce this unnecessary duplication and also cut costs?

Mr. DIMARIO. On its face, it would appear that it would be. I'm not aware that duplication is there. I think we use the same data base to prepare the publications.

Senator REID. I guess one comment I would have, which is pretty obvious, is it doesn't cost much more to print 20 than 10, where the first one is expensive.

Mr. DIMARIO. Yes, sir.

Senator REID. We will look into it, but I think you should look into it and see if there is a Senate-wide practice involving all committees. If it is, you multiply that 300 times how many ever committees—26, or whatever it is—you really wind up with a lot of extra paper.

Mr. DIMARIO. Yes, sir; we will give you a full written report on that as part of the response.

[CLERK'S NOTE.—See questions and answers on p. 299.]

PUBLICATION FORMATS

Senator REID. You're requesting a change, and we are wondering why. You requested language regarding congressional printing and binding appropriation and the distribution of congressional information in any format, and you're requesting similar language in the revolving fund appropriation. What's the reason for that?

Mr. DIMARIO. I think currently there is a question that exists over whether or not we can change format in the distributing publications, and the Superintendent of Documents, Wayne Kelley, who is with us, may want to speak more fully to this, but we want to have a little bit more flexibility so that we can make GPO's documents program more viable. And Mr. Kelley can provide a better answer on that.

Mr. KELLEY. One of the things that we are doing is distributing at the present time documents in electronic formats. That's the practice. We distribute them in both the sales and the depository library programs.

So it more or less acknowledges what we are doing at the present time, that we distribute any format, not just print.

Senator REID. That's why you feel the change in language is important?

Mr. KELLEY. I think it validates what we are doing.

FLEXIBLE SCHEDULES

Senator REID. Changing subjects, tell us why you're requesting deletion of the language prohibiting certain employees from participating in flexible or compressed work schedules.

Mr. DIMARIO. Tom Muldoon will speak to that question.

Mr. MULDOON. Last year, we received a request from one of our offices in the field that does not do any direct work for the Congress. They requested that the language be changed to allow flexitime. At that time, we discussed it with both sides of the House and Senate. Both felt that this year would be an appropriate time to bring it up to cover the entire GPO. With a single exception, more requests for flexitime could mushroom.

The actual use of flexitime would be a mechanism to employ some people better. We have flexitime authority right now, in the law, except for certain restrictions, and we basically would negotiate its use in terms of its impact and implementation with the various employees. It would give GPO more flexibility to adjust the shifts through negotiation with employees. As we work on a 7-day week many times, and Congress works on 5, so if you have a flexible-type of arrangement, you could have the Saturday as a regular work day as opposed to an overtime day.

If you look at various ways in which it could be employed within the various employee groups within the GPO, we see there would be potential significant cost reduction that could occur.

ADDITIONAL COMMITTEE QUESTIONS

Senator REID. We appreciate your testimony and that of your associates. Next year, if you're with the Library of Congress, we will take you first. [Laughter.]

Mr. DiMARIO. Thank you, Mr. Chairman.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

Question. What would be the effect of a five, ten, and fifteen percent reduction below your current base?

Answer. The current fiscal year 1993 base for the Congressional Printing and Binding appropriation is \$89,591,000; for the Salaries and Expenses appropriation, \$29,082,000. Each one-percent reduction amounts to \$895,910 and \$290,820 for the two appropriation accounts, respectively. Thus, for the GPO's two appropriation accounts, the following numbers would relate to the suggested reductions:

	Reduction in CP&B account	Reduction in S&E account
Five-percent cut	\$4,479,550	\$1,454,100
Ten-percent cut	8,959,100	2,908,200
Fifteen-percent cut	13,438,650	4,362,300

If any of the above reductions were to be directed by the Congress, the following adjusted appropriations would be provided:

	CP&B appropriation account	S&E appropriation account
At 5 percent reduced level	\$85,111,450	\$27,627,900
At 10 percent reduced level	80,631,900	26,173,800
At 15 percent reduced level	76,152,350	24,719,700

Approving a reduced level of funds below the fiscal year 1993 base would set back the reimbursement to the GPO's revolving fund to levels prior to fiscal year 1992, because total appropriations to GPO were not increased in fiscal year 1993. GPO has not increased its scale of prices since January 1, 1990; thus, any difference be-

tween level of funding and services rendered has been a function of workload volume. For example, the adjusted current requirements for 1990 and 1991 for the Congressional printing and binding account were \$76,297,000 and \$83,813,000, respectively. Compared to actual appropriations of \$74,149,000 and \$77,364,000 for those years resulted in workload volume (demand) exceeding funding by \$2,148,000 and \$6,449,000. A combined shortfall of \$8,597,000 for these years could easily recur if fiscal year 1994 funding reverts to 1990/1991 funding levels without a corresponding significant reduction in Congressional demand for products and services. During the period of 1990-1994, GPO's revolving fund is being required to absorb significant increases in salaries and wages. Any reduction in funds would pose a major financial burden on the GPO. The possibility of requesting supplemental appropriations for any shortfall increases could become a likely action even after mandated administrative cost reductions.

Our fiscal year 1993 Salaries and Expenses Appropriation (S&E) is \$29.1 million, down \$1.9 million from the amount that was requested to fully meet the needs of the four programs that it funds. While it is understood and appreciated that this amount represented an increase of \$2 million over the fiscal year 1992 appropriation, and that this increase occurred when other areas in the Legislative Branch saw their appropriations reduced, this level of funding will not enable us to provide all of the services mandated, particularly in the case of the Depository Library Program (DLP). While it is believed that management efforts to operate within the current appropriation have been successful in protecting the essential content of the information products and services provided to depository libraries, further reductions from this base at a time when costs are increasing will almost surely result in a loss of information content.

The fiscal year 1993 appropriation is already \$3.5 million below our projected expenditures for the fiscal year, and this has resulted in reductions in both internal expenses (personnel, operations, infrastructure) and printing and binding (P&B) expenses. This has been accomplished without removing any information content from distribution to DLP and International Exchange System (IES) participants, but has required the Library Programs Service (LPS) to restrict choices of format (paper vs microfiche), eliminate duplicative distribution and reduce claims services for depository libraries. With present resources, LPS is unable to accept major new categories of publications into the program and is limited in its ability to experiment with new information technologies which may improve service and reduce costs in the future.

The \$33.7 million requested for fiscal year 1994 includes up to \$2 million to complete the printing and binding of publications from fiscal year 1991 and fiscal year 1992 jackets for distribution to the DLP and IES participants. This funding was requested in anticipation that the P&B requirements from those years will exceed the available funding, as was the case with the fiscal year 1990 appropriation. The publications most likely to be affected by the loss of this \$2 million are the bound Serial Set for the 101st Congress (1989-1990), the bound Congressional Record and the bound Congressional Record Index. These publications are always among the last jackets to be completed each fiscal year and, therefore, are all that is left to be cut when the available funds are exhausted.

In addition to eliminating funding for work-in-progress for prior year jackets, cuts of five, ten or fifteen percent from the fiscal year 1993 funding level would result in severe restrictions to current services. Such cuts would require further restrictions in choice of formats (paper vs microfiche) and possible elimination of content from the DLP as well as the elimination of a one-time cataloging contract to clear the backlog of publications that have not yet been announced in the Monthly Catalog. These actions will have a negative impact on public access to government information. The lack of timely and complete information on the availability of government publications through the Monthly Catalog will make it more difficult for the public to identify government publications. Since LPS will be forced to distribute the least expensive formats, rather than the most useful formats, public access through the depository libraries will be more difficult.

For example, a five percent reduction in funding from the fiscal year 1993 appropriation would require additional reductions of \$1.454 million in expenditures, at the same time that costs are increasing by 4 percent due to salary and other price increases and LPS anticipates a 1 percent growth in the number of libraries served. Costs, such as salaries, benefits, and buildings expense, are relatively uncontrollable and will require over \$12.5 million of the fiscal year 1994 appropriation request. This leaves about \$21.2 million for printing, binding and postage expenses. A five percent reduction of almost \$1.5 million in P&B and postage is equivalent to a reduction of approximately 16 percent from the fiscal year 1993 P&B and postage base and almost 29 percent from the fiscal year 1994 appropriation request for P&B and postage.

Similarly, a ten percent reduction in S&E funding would result in the amount available for P&B and postage dropping by about \$2.9 million. This is a reduction of almost 24 percent from the fiscal year 1993 base level and about 36 percent from the fiscal year 1994 request. A fifteen percent reduction would cause the amount available for P&B and postage to decrease by \$4.4 million, a reduction of about 32 percent from the fiscal year 1993 level and over 42 percent from the fiscal year 1994 request.

Although the cost of print publications distributed to depository libraries varies considerably, the average cost is \$1 per copy and the average number of libraries selecting a paper publication is 500. By extrapolation, each \$500 reduction in printing and binding could equate to the elimination of one publication from the program. Thus a reduction in funding at any of the three rates equates to the possible elimination of a significant number of publications from the DLP.

A ten or fifteen percent decrease in funding would necessitate a suspension of new libraries admitted to the program as well as a substantial decrease in services to the existing libraries. If these reductions are a long term trend, rather than a short term savings, then we should consider alternatives to reduce the total number of libraries served, so that we can provide high quality service to a smaller number of libraries. Several options are being debated in the community at present; some of these would require legislative changes.

Question. You are requesting a total of \$128.7 million, which is an increase of \$10 million or 8.5 percent. As you know the Senate committee funding resolution reported by the Rules Committee (S. Res. 71) reduces funding for committees by 6.4 percent below fiscal 1993. The Majority and Minority Leaders have endorsed applying this reduction to all Senate Leadership offices, as well. Could you tell us what a 6.4 percent reduction below your current level would mean to your operations?

Answer. The current fiscal year 1993 base for the Congressional Printing and Binding appropriation is \$89,591,000; for the Salaries and Expenses appropriation, \$29,082,000. Each one-percent reduction amounts to \$895,910 and \$290,820 for the two appropriation accounts, respectively. Thus, for the two accounts, the following numbers would relate to a 6.4 percent reduction:

	<i>Revenue reduction</i>
Reduction in CP&B account	\$5,733,824
Reduction in S&E account	1,861,248

Approving the above reduced level of funds for fiscal year 1994 would result in an appropriation of \$83,857,176 for the Congressional printing and binding account and \$27,220,752 for the Salaries and Expenses account of the Superintendent of Documents. A reduced appropriation for Congressional printing to the above level would approximately equate to the \$83,813,000 workload requirements for 1991. But that level of work in 1991 was not adequately financed and resulted in an unfunded shortfall increase of \$6,449,000. The above reduction for the Salaries and Expenses appropriation would put the financing approximately at the 1992 level. It was at this level where the Congress had to redirect \$2.0 million of funds from its printing account in 1993 to cover some Depository Library Program workload requirements. Library program recipients face the potential of not receiving some titles or changing to less desirable formats. GPO will make every effort to reduce its overall administrative cost burden in line with the goals of the Congress, but in this process, there are other significant factors such as GPO's negotiated pay agreements and Congressional demand which must be weighed in any proposed appropriation revenue-reduction formula.

As would be the case if there is any reduction from current levels, our ability to carry out the mandated responsibilities of the programs funded by the S&E Appropriation would be detrimentally restricted. Even the current level of funding has forced management to take steps to curtail traditional program services in order to keep spending within authorized limits.

Reducing our fiscal year 1994 S&E Appropriation to 6.4 percent below our already low fiscal year 1993 level would leave us almost \$6.5 million, or almost 31 percent, below the level that we feel is necessary to fully fund the operations of the programs provided for by the S&E Appropriation. Virtually all of this cut would have to be absorbed in the printing and binding of Government publications to be distributed to depository libraries and the postage associated with making these distributions.

Since efforts to operate within the current appropriation are achieving the majority of the cuts that will not diminish service content, an additional reduction of this magnitude would almost surely result in a loss of content in the Depository Library Program. In addition to further restricting format choices, passing up new categories of publications that should be placed in the program, and not adding new

libraries to the program, it might become necessary to consider more drastic measures to stay within spending limits.

Question. The Committee has received numerous reports from Congressional and support agencies about the variance in GPO charges for comparable kinds of work. For example, we are told that the costs of publishing a comparable document may vary by as much as 45 percent. How do you explain this variance? How are the costs of work charged to Congressional Printing and Binding determined?

Answer. GPO rates have remained constant since January of 1990. The cost of particular jobs varies according to the number of pages, copies, methods of production, urgency, and the number of changes received from the publishing agencies. Keying of manuscript is more expensive than use of dial-up composition. If a large number of copies is printed, larger, more efficient presses can be used, which reduces the cost per copy. The same is true for the number of pages. A large document can be printed at a smaller cost per page than a small document. For example, if the product was produced on a Group 85 sheet-fed press, an additional bindery operation would be required, as compared to producing the same product on a Group 86 web press. The number of copies required and the urgency of the product would be deciding factors in determining which press group would be used to produce the product. If agencies require delivery in a very short time frame, a rush surcharge of 25 percent may be applied. Paper prices vary considerably over time and can significantly affect the cost of comparable publications.

GPO divides the printing process into defined operations and classes of work. Rates are established for each operation and class. As jobs are produced, the operations and classes performed are recorded. The rates are applied to determine a summary cost for each job. This is normally the amount billed. However, some jobs are billed based on a negotiated price. These jobs are accepted in order to fill in idle time and are calculated to recover all the direct labor and material costs and part of the indirect and overhead costs.

Rates are based on the historical cost of performing the various production operations. The goal of setting rates as defined in Section 309 of Title 44 is to recover cost. Normally, a small net income is sought so that capital improvements can be funded via the Scale of Prices and the burden shared by all GPO customers. However, GPO has not reported net income from In-House Printing Operations since 1990.

Each production operation has been identified by a particular Operation and Class. Employees report their labor (this is direct labor) by Operation and Class through the Production Reporting for Operations, Budgeting and Expenditures (PROBE) data collection system. The labor hours reported and the expenses for each Operation are also accumulated in the Hour Cost Books of the Cost Accounting System. The Hour Cost Books also accumulate by Operation and Class other expenses, such as production supplies, maintenance, depreciation, section burden, and overhead.

Section Burden is indirect cost occurring in the Production organization and includes: supervisory and clerical labor; sick, annual, and holiday leave; military and jury leave; internal work orders; and spoilage. The cost of Section Burden is distributed to the operations performed in each section based on the number of direct labor hours reported.

Overhead is indirect cost occurring outside the Production organization and includes expenses for administrative support services, such as Payroll and Personnel; buildings expense; departmental managers, divisional managers; and administrative support such as the Audit Group, and the Inspector General.

Overhead costs are distributed to revenue generating activities based on an appropriate criteria, such as total revenue, space occupied, or the number of people working in that area. This cost is then redistributed to specific Operations and Classes in the same manner that Section Burden is distributed.

All of these expenses are then totaled. Known increases will then be added for wage and expense increases. The total expense is then divided by the direct productive hours to develop the All-Inclusive Hourly Rate. The rates are then converted to a Scale of Prices which is used to determine the job cost to the customer agency and the revenue to GPO.

Question. The Government Printing Office provides printing service for the entire Federal government in addition to providing Congressional printing and binding. The GPO has about 5,000 employees and its employees are considered employees of the Legislative Branch and always show up in the total cited by critics of Congress.

Why wouldn't it be a good idea to make GPO an Executive Branch agency while maintaining a small, highly efficient, and technologically advanced Congressional

printing office to produce the Congressional Record, hearings, and other Congressional documents?

With the proliferation of sophisticated means of electronic publication and dissemination of documents, why do we even need a centralized GPO?

Wouldn't it be just as cost-effective to allow the agencies to acquire these new technologies and handle their own publication requirements?

Answer. GPO's plant resources are primarily devoted to the production of Congressional printing. Some non-Congressional work is performed in-plant to utilize excess plant capacity when Congressional workload is reduced. Other non-Congressional jobs are run on the same equipment as Congressional work. For example, both the Congressional Record and the Federal Register are produced on the same presses.

Separating the production process for Congressional and non-Congressional work would raise the Government's printing costs significantly. Congress would pay more for printing without the availability of additional non-Congressional work to absorb plant costs when Congressional workload is down or Congress is out of session. The Executive Branch likewise would pay more to maintain a duplicative production capability.

In 1988, the Office of Technology Assessment (OTA) reviewed the alternative of providing the Legislative Branch with its own small printing plant while transferring the balance of plant resources to the Executive Branch. In "Informing the Nation: Federal Information Dissemination in an Electronic Age", OTA concluded that this alternative would be very costly without providing any compensating benefit.

The proliferation of sophisticated means of electronic publication and dissemination has not obviated the need for a centralized printing and distribution facility. Ink-on-paper is still the predominant media for reproducing and disseminating Government information, and is likely to remain so for the foreseeable future. Centralization of printing production and distribution capabilities continues to be the most cost-effective means for reproducing and distributing ink-on-paper formats because of its ability to take the fullest possible advantage of economies of scale and to concentrate the necessary specialization of skills in one place.

Moreover, the printing process encourages, rather than stands in the way of, the growing use of electronic information technologies through the use of electronic prepress processes to formulate information databases for printing. These databases can subsequently be used for a wide variety of purposes, such as CD-ROM pre-mastering, on-line dissemination, and other non-traditional forms of information dissemination.

It is also true that GPO as a centralized resource promotes technology transfer between the Executive and Legislative Branches in information reproduction and dissemination. Advances in electronic printing technology were first made by GPO to improve Congressional printing. These same advances were subsequently applied to Executive printing. Advances being employed now in CD-ROM, on-line technologies, and electronic printing and publishing are being used for both branches.

It would be more expensive for the taxpayer to allow Federal agencies to acquire printing and other information technologies to handle their own printing and information dissemination requirements. There would be a substantial duplication of effort among agencies in performing these functions.

Since most agency printing and information operations would be smaller than GPO, few would be able to take advantage of the economies of scale that are available to GPO. Few agency printing operations currently in existence are run cost-effectively, and virtually none operate on a full cost-recovery basis like GPO. Few could establish a universe of potential printing contractors of the size that GPO regularly deals with, increasing the likelihood of reductions in competition in contracting for Government printing jobs and the emergence of "sweetheart" printing deals. The printing industry's costs for performing Government printing would rise, since it would lose the opportunity for one-stop shopping for printing contracts with GPO. In 1987, Congress began providing language in the Legislative Branch Appropriation Acts to require agencies to come through GPO for printing procurement, in recognition that GPO as a centralized function provides the most cost-effective way for the Government to spend its printing dollar.

Most importantly, with decentralization, the public would lose the efficient link between documents production and distribution that is currently available in GPO. Instead of a single major point of access to Government publications through the Superintendent of Documents, citizens would be forced to search through a multitude of agencies for publications they wanted. There would be no single point of access to publications by depository libraries, nor no single mechanism for administering the Depository Library Program. Similarly, there would be no single mecha-

nism for administering the International Exchange Program for Government documents, in fulfillment of treaty commitments.

The problems of decentralization of the Government's information functions have been exposed in the area of electronic information dissemination. Currently, with so many different agencies involved, using so many different systems, it is difficult for Government information users to locate, access, and utilize electronic Government information at a reasonable cost. These problems were addressed in the 102d Congress with the introduction of the WINDO and GPO Gateway bills in the House and Senate, which would have established in GPO a single, standardized means of access to electronic Government information. H.R. 1328, the Government Printing Office Electronic Information Access Enhancement Act of 1993, has been introduced in the 103d Congress, and referred to the Committee on House Administration. This bill would establish in GPO a means of enhancing electronic public access to a wide range of Federal electronic information. S. 564, a bill to establish in the Government Printing Office a means of enhancing public access to a wide range of Federal electronic information, has been favorably reported by the Senate Committee on Rules and Administration in the 103d Congress. Providing the public with an effective means of access to Government information would not be achieved by allowing agencies to handle their own information reproduction and dissemination requirements.

Decentralizing the Government's information function by removing it from the Legislative Branch would also remove this function substantially from Congressional control. Historically, the informing function provided by GPO has been the province of the legislature. Having GPO under the direct control of Congress has facilitated the broad and open availability of Government information to the public. Without that control and direct oversight, the conduct of Government information policy is likely to be more problematic, as well as costly.

Question. The Congressional Printing and Binding Appropriation language includes the cost of the printing and binding for the Architect of the Capitol. Why is the Architect of the Capitol considered Congressional Printing, when the Library of Congress is not? What were the costs of printing provided to the Architect of the Capitol during fiscal year 1992 and what are your estimates for 1993 and 1994?

Answer. This funding arrangement has been in existence at least since the enactment of the GPO revolving fund in 1954. The reason for this treatment is not clear; however, the Architect of the Capitol's (AOC) printing requirements are relatively small. The requirements include forms, blank paper, miscellaneous printing and publications, some of which are printed pursuant to Congressional Resolutions. Printing costs for the Architect of the Capitol totalled \$189,000 in fiscal year 1992. The estimates used by GPO for fiscal year 1993 and 1994 are \$189,000 and \$195,000, respectively. By contrast, the fiscal year 1992 printing cost for the Library of Congress was \$5.2 million. One can assume that a small account like the AOC does not need the accounting visibility of a larger customer like the Library of Congress. If the cost were shifted from GPO to the AOC, the cost would not be eliminated from the Legislative Branch.

Question. The Subcommittee received a considerable volume of mail from librarians concerning the depository library program. This was provoked by a letter from the Superintendent of Documents referring to a shortfall in funding for this program. As you are aware, last year the funding provided was within \$1.2 million of your request. More importantly, the depository appropriation was increased to \$25 million, a 10.6 percent increase over 1992, in a year when the overall Legislative budget was reduced.

What caused this misunderstanding?

What steps will you take to correct it?

Answer. The Subcommittee's action increasing our fiscal year 1993 Salaries and Expenses Appropriation (S&E) was very much appreciated. This increase in a year when the overall legislative budget was reduced clearly demonstrates the Subcommittee's continuing support of the Depository Library Program (DLP).

The appropriation for each fiscal year is expended over a period of five years. Approximately 51 percent is spent in the first year, 35 percent in the second and the remainder in the last three. We have no control over the number of documents entering the program or the costs of reproducing the documents. Financial information for any given fiscal year lags as much as two years behind the actual obligation of the funds.

For several years the DLP has attempted to contain costs by switching paper documents to less expensive microfiche for distribution to libraries. But with two-thirds of all documents currently in microfiche this approach offers fewer opportunities. A watershed event brought the matter to our attention in April of 1992.

In April of 1992 senior Library Programs Service (LPS) managers asked the Comptroller of the Government Printing Office to review work in progress and de-

termine our cash balance for prior fiscal years. We were shocked to learn that our fiscal year 1990 appropriation would be overspent by approximately \$1 million if we bound the Congressional Serial Set budgeted for fiscal year 1990 and reproduced other documents still in the pipeline for that year.

Congress assisted us by increasing our fiscal year 1993 S&E Appropriation by \$2 million and authorizing us to spend that amount for prior year obligations. That made it possible for us to meet our fiscal year 1990 printing and reproduction requirements.

Although our appropriation for fiscal year 1993 was increased by \$2 million, more than half of that amount will be spent on prior years. To avoid a repeat of the fiscal year 1990 budget situation, LPS managers immediately made a "needs based" projection of all anticipated expenses for fiscal year 1993. The projection for all four S&E programs came to \$32,546,000. This amounted to almost \$3,500,000 more than our fiscal year 1993 appropriation of \$29,082,000.

We immediately informed the Joint Committee on Printing (JCP) of the situation. Between June and October of 1992 we began a series of briefings including the JCP staff, the Depository Library Council, various library groups and library associations. We invited a focus group of five regional depository librarians to Washington and spent three days explaining the fiscal year 1993 budget and asking for their thoughts on possible cost reductions.

Finally on November 18, 1992, the Superintendent of Documents sent a letter to all 1,406 depository librarians explaining the fiscal year 1993 fiscal situation and asking them to volunteer cost reductions by switching from paper to microfiche formats. By late February more than 83 percent of the librarians had responded with voluntary savings amounting to approximately \$243,000.

Other steps we have taken to reduce fiscal year 1993 spending bring our projected savings to about \$2,750,000. Of this, \$350,000 comes from reductions in operational costs. We are reexamining all aspects of LPS operations and are seeking additional cost savings.

Question. Recently the committee was apprised of a situation involving House versions of bills and reports that are provided to the Senate Appropriations Committee. It is our understanding that almost 300 copies of each bill and report are provided to the Committee. Many of these are never used, according to our sources. Then shortly after the House reported bill is delivered another set of copies of the Senate referred bill—which is the House bill with a different cover—is printed.

Wouldn't it be possible to reduce this unnecessary duplication of printing and cut CPB costs?

Is this a Senate wide practice involving all Committees?

How is the number of copies of various Congressional products determined?

How many copies of bills and reports do the document rooms receive on a routine basis?

Answer. Congress tells GPO via the House and Senate Document Rooms, the quantities to be printed on each variation of a bill and report. All appropriation bills and reports starting with the reported versions that say, "making appropriations", in the title require GPO to print additional copies to be distributed as follows:

	Bills	Reports
Senate Appropriation Committee, SD-126, Dirksen	200	375
Senate Document Room	300	300
Senate Appropriation Committee, S-128, Capitol	50	75
House Document Room, HT-52, Capitol	999	999
House Document Room, B-18, Ford HOB		401
House Appropriation Committee, HT-218, Capitol	100	150
Total	1,649	2,300

The above distributions have been in effect for more than 12 years; however, the GPO Congressional Printing Management Division updates all distribution boards twice a year, April 1 and October 1. If the appropriate House and Senate officials wish to change the present quantities being printed, a letter to the Congressional Printing Management Division, Room C-730, GPO, indicating the new quantities would accomplish this.

The distributions of Public Bills and Joint Resolutions Reported in the House, Public Bills and Joint Resolutions Reported in the Senate, House Public Reports, and Senate Public Reports are as Follows:

	Public reports		Public bills reported in the—	
	House	Senate	House	Senate
Senate Document Room	300	850	250	675
House Document Room, HT-52, Capitol	200	20	300	20
House Document Room, B-18, Ford HOB	300	100	300	100
Senate Printing Clerk		15		20
Committee copies	150	150	150	150
Total	950	1,135	1,000	965

Any Congressional Committee can, and most all Committees do, order extra copies of their Bills and Reports.

There would be cost avoidances and cost savings if Committees did not order extra copies of publications. We estimate savings or cost avoidances of \$9,000 for every 100 sets of Appropriation Bills not ordered and about \$1,000 for every 100 sets of Appropriation Reports not ordered. If all extra copies of Appropriation Bills are eliminated, annual savings are estimated to be about \$147,000. If all extra copies of Appropriation Reports are eliminated, annual savings are estimated to be about \$25,000.

Question. You are requesting a language change for the Congressional Printing and Binding Appropriation. The requested language is as follows: "and the distribution of Congressional information in any format." In addition, you are requesting similar language in the Revolving Fund Appropriation. Why is the change necessary and what will it do?

Answer. This change is necessary to codify present policy. As new electronic formats have been developed, such as CD-ROM, they have long been considered as similar to traditional ink-on-paper publications. Nevertheless, this interpretation has not yet been codified to clarify the intent of Congress. This action will not change present policy or practice.

Question. Since the early out authority you were given in December expired on February 5, why are you requesting authority for retirement incentives? Has your early out authority proved useful? If not, can you offer suggestions that might make early out authority work to achieve the desired result? Based on your experience would you recommend this for other agencies of the Legislative Branch?

Answer. In response to GPO's early out offer, 24 people retired out of approximately 330 eligible, for a response rate of 7.3 percent. The experience of other agencies suggests that retirement incentives are necessary to induce a significantly higher rate of retirements. The requested retirement incentive payment authority would only be used where necessary. We would recommend early out programs without incentives to other agencies if a low response rate would be sufficient to meet their objectives; otherwise, incentives would seem to be necessary.

Question. The President recently issued an Executive Order to reduce administrative expenses by 14 percent by 1997. The Joint Leadership of the Congress has endorsed that goal for the Legislative Branch. How would you define administrative expenses? What steps would you take to cut back on administrative/overhead expenses of the Government Printing Office to achieve a 14 percent reduction by 1997?

Answer. In defining a base against which to take administrative savings, the Office of Management and Budget included almost all object classes, except personnel compensation and benefits and certain mission related costs. A shortcoming of their approach is that it does not adjust the administrative cost reduction goal for the impact of fluctuations up or down in the volume of work. Personnel costs were excluded because a separate initiative to reduce 100,000 positions is underway, which has also been endorsed by the Joint Leadership of the Congress.

Applying the general approach used in the Executive Branch to GPO, all object classes would be included in the goal, with the exception of personnel costs and certain uncontrollable and mission related categories of expense. Among the object classes not considered as part of the administrative cost reduction goal by GPO are paper and materials used in plant production, purchased printing, postage for publications sold, transportation of things, facility rents (excluded by OMB), and capital expenditures. Also, reimbursable expenses of the GPO Revolving Fund and those required by law are excluded. The nature of GPO operations is to respond to workload

demands of customers. To the extent that workload demands may increase significantly, it may be necessary to adjust the savings goal to allow for necessary workload output.

Consistent with the separate goal to reduce FTE's by 4 percent over the next three fiscal years, GPO FTE's would be reduced from the present authorized level of 4,950 FTE's to 4,752 FTE's by fiscal year 1995. GPO will attempt to achieve this goal by concentrating reductions in overhead and management areas.

The administrative cost savings and FTE reductions will be achieved through a broad emphasis on better management, including the following:

Reduced Overhead.—We will work to reduce the number of management and administrative personnel through attrition.

Automation and modernization.—Both production and administrative processes will be modernized to take advantage of new and proven technology in electronics, computers, and communications. Implementation of optical disc technology and expanded use of electronic data interchange have the potential for significant cost savings.

Quality Management.—A process of continuous quality improvement will be implemented to measure and enhance efficiency. Financial and program performance indicators will be developed for strategic and quality improvement plans. The contributions of all GPO employees and stakeholders will contribute.

QUESTIONS SUBMITTED BY SENATOR CONNIE MACK

Question. In his testimony before the subcommittee on Tuesday, the Secretary of the Senate spoke of a number of technological advances in various offices under his purview that have saved printing costs covered in the Congressional Printing and Binding Appropriation. For example, Mr. Stewart estimates a \$300,000 savings in the printing of the Secretary of the Senate's report due to a new formatting that kept the document to one volume. Surely other savings have been achieved by the increased text preparation of Daily Digest and morning business portions of the Record in the Senate. I also understand that GPO did not prepare a single Senate enrolled bill on parchment last year. That, too, was performed by Senate personnel.

Yet nowhere do I find anything in your justification that displays the savings that have been achieved by these improved efficiencies in the Secretary's office. We have appropriated money to give the Secretary the capability to do these things but we are seeing no return on our investment. Why is that?

Answer. Through these and other savings measures, GPO has been able to hold the line on price increases since 1990. The savings which have been realized through such efforts have partially offset the annual mandatory cost increases in GPO operations for pay raises, utilities, and other expenses, but have not been sufficient to reduce total cost. Over the last ten years, GPO has been able to reduce over 1,100 employees by utilizing more efficient methods.

The savings achieved by reformatting the Secretary of the Senate's report is less than \$80,000 per year. This publication is a Senate Document. GPO's budget reflects a reduction in Document pages from 31,000 pages in fiscal year 1992 to 22,000 pages in fiscal year 1994.

While smaller enrolled bills are printed on parchment by Senate personnel, most enrolled bills are still being produced on parchment at GPO. Any savings would be similarly reflected in GPO's budget estimates. GPO's budget reflects a reduction in pages of bills from 190,000 in fiscal year 1992 to 150,000 in fiscal year 1994.

In conjunction with the Secretary of the Senate, important efforts to more fully automate production of the Congressional Record continue. The technological platform is now in place to allow the transfer of significant portions of Congressional Record debate in electronic format to GPO, thus reducing expensive and time-consuming rekeying of these portions of the Record at GPO. On March 10, 1993, the Senate Official Reporters of Debates transmitted the first uncoded generic ASCII Senate Proceedings file to the GPO Text Processing Section for testing. The Text Processing Section, using a Xywrite macro, inserted a galley slugline and element identifier codes to facilitate MicroComp composition. The file was then composed in galley format and the output was faxed to the Senate Official Reporters of Debates for their review. A significant though variable percentage of Senate Proceedings could be electronically submitted via this method in the very near future. The implementation timeframe, as well as the percentage of proceedings, is dependent upon the Senate Official Reporters of Debates. Initially, these files will not be validated to the point which precludes proofreading. However, this too is within the realm of possibility. GPO is ready, willing, and able to accept these files for inclusion in the Congressional Record.

Question. You are requesting language for the revolving fund to authorize "retirement incentive payments to employees." How will these payments be determined? How much will they be? Do you have any estimate of the number of people who may receive them? Do you plan to fill the vacancies created by retirement, and if so, what cost savings, if any, will be achieved?

Answer. Statutory retirement incentive authority is being requested as a potential tool, which would be used only if it becomes absolutely necessary. Under the retirement incentive program developed by the previous Administration, the retirement incentive payment to each employee would have been the higher of six months salary or the difference between their current annual base pay and their new annual annuity. The amount of the incentive payment would have varied by employee, but would have averaged about \$30,000. The maximum number of employees that would have been offered the incentive payments would have been about 380. Assuming that about 270 of these employees had accepted the offer (a 70 percent response rate), incentive payments would have totaled about \$8.1 million, and would have generated an annual reduction in GPO payroll costs of about \$18 million. Under the previous program, we did not plan to fill the vacancies created, although there could have been some realignment of remaining essential functions.

SUBCOMMITTEE RECESS

Senator REID. This subcommittee stands in recess until tomorrow morning until 10 a.m., when we take up the Joint Committee on Printing and the General Accounting Office.

[Whereupon, at 12:10 p.m., Thursday, February 25, the subcommittee was recessed, to reconvene at 10 a.m., Friday, February 26.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1994

FRIDAY, FEBRUARY 26, 1993

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 10 a.m., in room SD-116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.

Present: Senator Reid.

JOINT COMMITTEE ON PRINTING

STATEMENT OF HON. WENDELL H. FORD, ACTING CHAIRMAN

ACCOMPANIED BY:

JOHN CHAMBERS, STAFF DIRECTOR
SARA JONES, GENERAL COUNSEL

OPENING REMARKS

Senator REID. The subcommittee will come to order.

This morning we will consider the budget requests of the Joint Committee on Printing and the General Accounting Office. This morning we will begin with the Joint Committee on Printing. We have with us the chairman of the Joint Committee on Printing, Senator Wendell Ford of Kentucky. The joint committee is requesting a total of \$1.4 million for 1994. This represents an increase of about 2 percent over the amounts for last year.

Of course, Senator Ford, we welcome you here today. It's nice that you braved the snow.

Senator FORD. Same to you, Mr. Chairman. It's always a pleasure to be here, and I understand what you are going through. I went through mine yesterday, and you know you were there with your effort, so I know what you're doing. And it's a very meaningful approach. I wish to compliment you on what you're trying to do, and hopefully we will be more than willing to work with you to accomplish your end result.

Senator REID. You know, Senator Ford, what we have to make sure we don't, in this great crunch to save money, kill all the little guys.

Senator FORD. Right.

Senator REID. I'm reminded of "the Peter Principle". In that book, the focus is how things work in Government. For example, they used the British Parliament. They were going over the yearly budget, and they went through these big defense expenditures like nobody's business in no time at all, and they came to the Christ-

mas party for the department. And that's something that people really understood; it was simple. They debated that for hours and hours. And we have to make sure that we don't try to do more harm than is necessary to a small item like this, so I appreciate your being here.

Senator FORD. I have been in Duluth, MN, with the Jaycees a good many years ago, and in about 10 minutes they spent \$15,000 for a sod busting machine, and argued 3 hours on what kind of a shirt to wear at the State convention. [Laughter.]

I understand what you're going through very well.

I have always admired Henry Clay from my State, Harry, and he was a great compromiser, so I say we used a little bit of "Clay" here, and Henry Clay said that compromise was a negotiated sacrifice. And I think, basically, that's what we are trying to do here.

STATEMENT OF ACTING CHAIRMAN WENDELL H. FORD

I'm very pleased to be here this morning, and I thank you for permitting me to appear on behalf of the Joint Committee on Printing and its proposed budget for the fiscal year 1994.

This budget was, by the way, prepared by my predecessor. As you know, with every other Congress, the House will have a chairman, and the Senate will have a chairman, and my predecessor was Charlie Rose of North Carolina, and I applaud his hold-the-line approach and his restraint.

Ninety-seven percent of this budget is for personnel. It takes no increase in staff salaries. It recognizes the 17-man ceiling on manpower, and that's no increase in the number of staff. We do request, Mr. Chairman, an additional \$30,000 to cover a current shortfall in personnel benefits, specifically FERS, the new Federal Employee Retirement System.

No additional increase in administrative expenses is requested. And while I hope to hold regular oversight hearings in the next 2 years, I believe we can do that at the current level of funding.

Four years ago when I began my first 2-year term as Joint Committee on Printing chairman, no one could remember if or when the committee held a public hearing. With your help, Mr. Chairman, and the help of your counterparts on the House subcommittee, that was changed. We took a few thousand dollars and explored the managerial shortcomings of the Government Printing Office. Some of the problems identified had been addressed by GPO, but the largest, highly paid, underutilized senior managers had not been dealt with, and, in my judgment, is a major contributing factor to the current shortfall of GPO's overall financial condition.

We were able to get GPO's books audited for the first time in nearly a decade. The law requires such an audit every 3 years. I'm pleased to report that my House counterparts in the 102d Congress have followed suit. A complete audit of GPO ordered by Chairman Rose will be published in the next few weeks.

I believe the auditors are giving an unqualified opinion, but have listed nearly 100 areas which concern them about the way GPO keeps its books. I intend to take GPO to task in these areas at my next GPO oversight hearing.

Mr. Chairman, on a broader scale, title 44 permits the Joint Committee on Printing to remedy neglect, delay, duplication, and

waste in public printing, binding, and distribution of Government publications.

Over the last 2 years, Chairman Rose has identified several executive branch agencies that have tried to skirt title 44 and elude the language you and other Appropriations Committee members have adopted. This language is aimed at supporting the concept of a central printer for the Federal Government and to hold the line against excessive printing costs in areas of new equipment, personnel, materials, and publications.

Although Congress has adopted the Appropriation Committee's language that no funds shall be used hereafter for printing except by or through the Government Printing Office, we have numerous examples, Mr. Chairman, particularly at the Defense Department and GSA, where cost is being overlaid on costs against the specific instruction of Congress. It is my hope that, with the new administration and a new Public Printer, these situations will be remedied. In that process, I believe that millions and millions of dollars can be saved.

In my first term, Mr. Chairman, on the Joint Committee on Printing, we were able to identify 200 million dollars' worth of savings from specific projects and program cuts. That may seem like small potatoes in the overall scheme of Federal finance, but if you estimate that the Government does 3 to 4 billion dollars' worth of printing a year, that's not a bad percentage. I can assure you that my target is even higher for the coming term.

I have recently issued a letter to all committee chairmen and initiated discussions with the Secretary of the Senate, Clerk of the House and Doorkeeper regarding the number of additional committee publications, bills, and reports which are ordered and reprinted through GPO. By bringing such requisitions back in concert with the law, I believe we can save up to \$500,000 in congressional publications during this Congress.

Another area of which I am particular proud is the progress we have made with recycled paper. In 1989, at my direction, GPO established an aggressive program for the use of recycled paper, and has since gone well beyond the EPA guidelines in this area, all without increasing the cost to the Government. I want to underscore that. All of that has been done without increase in cost to the Government.

In fact, Mr. Chairman, the joint committee efforts have resulted in printing the Congressional Record now and the Federal Register on 100 percent postconsumer waste newsprint at a lower cost than previous year's virgin newsprint. The joint committee has directed the GPO to purchase increasing amounts of recycled paper with the addition of at least 10 percent postconsumer content for Governmentwide use. As you say, we can save a tree; and if we can do this, Mr. Chairman, we will save a forest.

As you may have noticed, Mr. Chairman, just this week I issued a policy letter to all agencies as well to our colleagues, asking that they use the recognized recycled paper symbol on stationery and publications printed on recycled paper.

Let me make one final comment. Of the over \$1 million that we are asking for in our budget, we saved \$250 for every \$1 budgeted, and that is a direct savings, and I think the Joint Committee on

Printing is now beginning to do its job, and it is now a function that can improve as we travel forward.

So I will be more than willing to answer your questions as best I can. I have with me John Chambers, the director, and Sara Jones, the attorney. And with your permission, they can assist me in answering the questions.

I want to draw your attention to the letter that I'm sure you had a chance to peruse, but the letter that was sent to you translating the budget estimate for the coming Congress is an outline of things we do. This is a full-time operation, Mr. Chairman, and it can do an admirable job, and I plan to do the best job I can, whatever the final outcome might be.

JCP BUDGET REQUEST

Senator REID. Yesterday the Senate adopted a plan, as you know, in the committee funding resolution, which included substantial cuts to committee budgets from last year's levels.

Senator FORD. Basically 6.3 percent.

Senator REID. As I understand it, the Rules Committee asked committees to submit a request equal to 90 percent of the recurring budget base to which was added COLA adjustments for recurring staff salaries. The result was a cut in nominal terms, as you indicated, of 6.3 percent.

So I want to compliment you, as chairman, for having been able to accomplish this, and I'm pleased to see that your request here today is the smallest increase of any joint committee's request.

So it appears that you're remaining, I won't say cheap but frugal—

Senator FORD. That's a good word. You could use that with a small "F" on that, if you want to. [Laughter.]

Senator REID. I guess the question is, and as I'm sure I indicated this is a small amount of money here, but why should we apply the formula used for Senate committees to the Joint Committee on Printing and, for that matter, to all the joint committees?

Senator FORD. Mr. Chairman, I will operate under whatever your final decision is. I have made every effort, and I think Chairman Rose made every effort, to hold the line.

You noticed in the Rules Committee report on the budgets that Senator Bumpers and the Small Business Committee 2 years ago asked for no increase whereas every other committee took one. He did not. This time he just asked to stay even. We allowed that because he did not take the increase 2 years ago.

If you apply that same rule here, we would basically be keeping the same amount of money that we had 2 years ago. And while I was chairman, I was able to return about 12 percent average, I think, of the amount budgeted. I will not spend anymore money than is required. If the chairman sees fit to reduce that, this would result in an October 1 reduction of approximately \$120,000 from the joint committee's compensation in its benefits category. Such a cut would result in an across-the-board reduction of salaries and benefits and the elimination of approximately 4 members of the staff of 17.

JOINT COMMITTEE HISTORY AND JUSTIFICATION

Senator REID. I'm wondering if you or the two people from the committee that you have brought with you could give me an indication as to the history of the Joint Committee on Printing. Why do we have it? Why do we need it?

Senator FORD. The Joint Committee on Printing—and I say this with all due respect, Mr. Chairman—was set up, as I said earlier, to be sure that we coordinated the printing and had no waste, and that all Government printing would come into one central location.

What we have had to fight 4 years ago when I first became chairman was there was a beginning to set up a printing operation in every agency. And under title 44, that should not be done, and I had to fight that, and Chairman Rose has done the same thing.

Senator REID. Is that under every legislative agency or even executive agencies?

Senator FORD. All agencies.

So what we try to do is bring them in. And the volume, if we have to contract that out, that will reduce the cost; the more the volume, the less per document. So we are trying to stem the tide, and I think we have done very well.

We have two agencies that we are having considerable trouble with: One is the GSA, and the other one is the Defense Department. And I'm hoping that, in the next few weeks, we can bring them in to discuss it. I have already made that preparation to reduce the cost.

One of the things that we are required to do here—and we must stay ahead of technology, Mr. Chairman—is that we are required to have that Record to you every morning early, based on the debates of the House and the Senate. That's one of the functions.

We are setting up now—and I hope with the new Public Printer and the new administration, we will be able to improve—but the Secretary of the Senate has set up an operation now where we transmit basically what will be printed in the Record. We are not accepting that on the other end as well as I think we could, and I think with the change of the Public Printer, the Public Printer that we have now understands that very well.

And I think you will find the flow much better, the return greater, the organization—as it relates to paper waste and use of personnel—will improve considerably. And we will see not only a better flow coming back, but we will find a reduction. We have to have at least enough personnel to look at all these things to be sure that we reduce the money.

It wasn't an easy task, Mr. Chairman, to reduce \$250 million in costs for 2 years, and that's been carried on.

If, for every \$1 we have been budgeted, we have saved the taxpayer \$250 for every \$1, that's a pretty decent return when you said you looked earlier at the miniscule amount in this particular committee.

So we do have a tremendous responsibility, and our responsibility in the amount of the committee budget doesn't relate the significance of what we need to do.

Senator REID. We have already held our hearing on joint Government Printing Office.

Senator FORD. The new acting Public Printer came before you and indicated that here is an individual that's been through the mill there. He understands that.

Senator REID. We were impressed with him. Here is a man not only that's been there 22 years, but he has an outstanding academic background.

Senator FORD. We are pleased with his ability and background, but I think he can move the Government Printing Office into the right direction that we could be proud of.

CONGRESSIONAL PRINTING COSTS

Senator REID. One of the problems we have with GPO is that the savings that we achieve in congressional operations never seem to be reflected in their budget request. You have talked about substantial savings here resulting from Joint Committee on Printing initiatives.

Senator FORD. Oversight.

Senator REID. Yet the request we get from the GPO don't seem to reflect that. At least if they do, I'm not tracking it.

Senator FORD. There are two or three things we need to do, Mr. Chairman. We got under the previous Public Printer a lot of the expensive deputies; they are all over the place. And what they do, I don't know, but we need to look at that very hard and eliminate those and coordinate some more efficiency.

The equipment needs to be changed, and we need to have a "ramped"—if I could use that term—purchase of that equipment so that, as we are printing other things, we could put in this new equipment and begin to improve and to catch up, basically, where the House and Senate is. And where they are now and where we can be shortly, in my opinion, can be done by somebody that understands the operation over there.

JOINT COMMITTEE HISTORY AND JUSTIFICATION

Senator REID. Does anyone know when this joint committee started?

Mr. CHAMBERS. It was in the last century. The committee is one of the two or three oldest committees in the Congress. It started as a result, to your earlier question, with some difficulties with the printing contracts: tremendous overages; most unusual practices, from a business point of view. And for that reason, the committee was put in specifically to oversee that.

Senator REID. I wish you would put in the record a history of it and what the problems were then, and also a justification as to why it should still exist. The chairman here has pointed out the cost savings. I think that's significant.

The reason I say this is: There is going to be a significant effort by people to look closely at all the joint committees. For example, the Joint Economic Committee has, I think, 55 employees. And this Joint Committee on Reorganization that I sit on, we had a number of people say, "Why is it necessary?" They put out reports. We are going to go in and find out whether or not it is necessary.

The point being is that I would like something in the record to make our job a little easier.

[The information follows:]

JOINT COMMITTEE ON PRINTING HISTORY AND JUSTIFICATION

Congressional concern over irregularities in the procurement of printing services for the two Houses of Congress prompted the passage of a law in 1846, which not only restored competitive bidding in the awarding of printing contracts, but also provided for a Committee on Printing consisting of an equal number of members from the Senate and the House of Representatives. The intent of this law was to promote economy and prevent fraud by expanding the printing function to a larger field of entrepreneurs.

Prior to 1860, all public printing for the Congress and the Federal Republic was done by private printers which resulted in diversity of style and quality of Congressional publications. The Government Printing Office (GPO) was established in 1860, to ensure the uniformity, accuracy, neatness and timeliness for the printing required by the two Houses of Congress. The best known Congressional publication, the Congressional Record, containing a verbatim report of proceedings on the floor of the House and Senate, did not appear in its current form until 1873. It addresses Article I of the U.S. Constitution: "Each House shall keep a Journal of its Proceedings and from time to time publish the same, excepting such Parts as may in their Judgment require Secrecy; and the Yeas and Nays of the Members of either House on any question shall, at the Desire of one fifth of those Present be entered on the Journal".

Initially Executive Branch printing was authorized through special resolutions in each House authorizing contracts for publications and binding and there was no uniform public dissemination policy for all Federal publications. In 1895, Congress through the Printing Act of 1895, centralized all Federal printing within GPO and relocated the Superintendent of Public Documents from the Department of Interior to GPO, where it continues to play a major role in the dissemination of government information to the public. The law provided that "all printing, binding and blank books of the Senate and House of Representatives, and the Executive and Judicial Departments, shall be done at the Government Printing Office, except in cases otherwise provided by law". After 1895, the Superintendent of Documents became responsible for sending all government publications to hundreds of libraries throughout the nation with the Joint Committee on Printing providing Congressional oversight. With the subsequent growth in Executive Branch agencies and increased departmental and Congressional printing needs, the role of the Joint Committee on Printing expanded.

The wars of this century created great demands on GPO and the Joint Committee on Printing. During World War II, the Joint Committee on Printing realized that the U.S. printing industry as a whole would be needed to meet the Country's emergency printing requirements. The Joint Committee issued supplemental rules and regulations to ensure a printing backup consisting of commercial procurement. Thus began a partnership in commercial cooperation in government printing which has grown to become the primary source of Federal printing today. The current Federal Printing Program devised by the Joint Committee on Printing and administered by GPO still promotes economy, one of the major concerns leading to the creation of the 1846 law. GPO, with the oversight direction of the Joint Committee on Printing has met the needs of the Congress and the Federal Government for its mission-related requirements.

As outlined more fully below, the Joint Committee currently fulfills its statutory obligations by exercising oversight of the Federal Printing Program, coordinating printing, publishing and dissemination services for the Congress, setting and enforcing standards, providing technical and expert assistance to other committees and officers of the Congress and their counterparts in the Executive Branch, and by acting as an arbiter between government agencies and the Government Printing Office.

OVERSIGHT

The Joint Committee provides ongoing oversight of the printing and distribution activities of all government agencies in addition to those of the Government Printing Office. This includes over 200 agency printing plants. Oversight is conducted through hearings, inspection of government operations, approval of equipment acquisitions and printing plans, and audits directed by the Joint Committee.

The Joint Committee analyzes the ongoing need and cost to the Government for printing, publishing and dissemination programs. It collects the information needed by requiring that all agencies provide the Joint Committee with an annual plan and other data describing their activities. It plays an active oversight role including holding Congressional hearings, in channeling agency printing into GPO's cost-effective printing procurement program and recovering "fugitive" agency publications back into the depository library program.

COORDINATION BETWEEN HOUSE AND SENATE

The Joint Committee on Printing publishes a number of publications that are needed by both the Senate and the House, thereby eliminating duplication of effort between these two bodies. These publications include the Congressional Record, the Congressional and Pictorial Directories, the Biographical Directory, eulogies and a number of other publications.

The Joint Committee has been involved in coordinating the transition to electronic printing of Congressional publications and is working with the appropriate offices of the Congress.

The Joint Committee through recent audits and continued oversight strives to ensure that the Congress gets its money's worth out of the appropriations to the Government Printing Office.

STANDARDS

The Joint Committee establishes cost-effective, minimum needs standards through its regulations, the GPO Style Manual and its paper specifications.

The Joint Committee sets paper specifications and buys \$50 million worth of paper a year for government use. It has actively encouraged the increased use of recycled paper by the government through its progressive, yet cost-effective paper specifications. In the first 12 months of JCP's-directed recycled paper purchases, GPO realized a 12 percent cost savings as compared to the previous year's purchases of virgin paper, and the price per sheet has declined steadily since.

The Joint Committee sets the standards for how publications and hearings of the committees as well as of the House and Senate are to be produced. This standardization of publishing has saved the Congress millions of dollars.

Joint Committee standards and oversight for executive agencies has had similar success in keeping executive publishing costs, such as annual reports, down.

The Joint Committee oversees policies that promote the accuracy, integrity and security of publications transmitted to the GPO for publishing. Standards are in place to ensure accuracy of remarks within the major Congressional publication, the Congressional Record. Additional standards have been established to ensure that Congressional and Executive Branch publications directed to GPO are in no way altered or misrepresented, leaked or released prematurely and afforded full accountability. For example the Department of State's passport booklets are produced in a highly controlled environment, printed on unique paper with a variety of security printing features and are distributed within the tightly controlled requirements of the State Department. In addition, GPO produces other products that require security and control such as stamped postal cards, Agency identification cards and various products for the White House.

EXPERT ASSISTANCE TO PARENT AND OTHER COMMITTEES

The Joint Committee provides professional assistance to its parent committees, Senate Rules and House Administration, in the drafting of bills, as well as the preparation for hearings. The Joint Committee has done research, prepared questions, identified witnesses, and edited hearings on issues relating to printing, information and technology.

The Joint Committee has worked with and been supported by the Appropriations Committees of the House and Senate in obtaining language limiting Executive Branch printing expenditures and redirecting the transmittal of more Government information to GPO for production or placement on Federal Printing Program commercial contracts. Savings of \$250 million have been identified in Executive Branch printing activities over the last three years.

ARBITRATOR

The Joint Committee on Printing, by statute, acts as the final arbiter for various disputes including those between GPO and labor on wage issues, and disputes as to the quality of paper. In addition, the Joint Committee intervenes when disputes arise between a government agency and the Government Printing Office.

Senator REID. I think that's all we have. We may have a few questions that we will submit to you in writing.

Senator FORD. The only thing I can pledge to you, Mr. Chairman, is whatever decision you make we will comply with it.

I am convinced that oversight of this operation, as we started—and we have, as you understand, a lax period where they kind of

let it run, and without an audit for over 10 years, that was uncalled for, in my opinion, and you have to reign them in.

So I look forward to moving in the right direction.

GPO TRANSFER

Senator REID. Before you leave, Mr. Chairman, let me ask you this: One of the questions that was brought up with the GPO is why wouldn't it make more sense to make GPO—keep in mind, we don't save the Federal Government a penny by doing this, but we, the legislative Branch, were continually criticized because we are so big—35,000 employees. The executive branch is over 2 million, but we are criticized because we have over 35,000. And GPO had about 5,000, even though the printing that they do is not all legislative branch, quite to the contrary.

Senator FORD. That's correct. It's like the Botanical Gardens and others that charge us here, and the Library of Congress which the Rules Committee has as a committee. It's like the Agriculture Department. What you do for Agriculture is small compared to the food stamps that come out of there.

Senator REID. That is why the people criticize the number of employees.

Senator FORD. That is correct.

Senator REID. My question is: Why shouldn't we keep a legislative branch? Why shouldn't we make it an executive agency and maintain a small, efficient, technologically advanced congressional printing office to produce the Congressional Record and hearings and congressional documents?

Senator FORD. Mr. Chairman, under the past two administrations, there have been several executive branch agencies that have attempted to do this without benefit of law, and I would name the two: Department of Defense and GSA are the principal ones.

The effect has been significant increases in cost, duplication, failure to supply the depository library system with publications, and layering of personnel.

Over the past 2 years, the Joint Committee on Printing has identified those activities. And I believe if we curtail these activities we could find President Clinton another large cut in Government costs he's not asking for now.

And one of the things—and let me make a point here, if I can—the joint committee of which you and I are on, wrote us a letter the other day and asked for several hundred more copies of testimony which will cost anywhere from \$15,000 to \$20,000 more than appropriated, and they said because of public interest.

Well, we are there to take care of the legislative interest, and the lobbyists downtown and so forth that will want more copies, they have every right now that you could go to the University of Nevada at Reno or Las Vegas, and they can go into your library there and get a copy of it, and we don't have to spend that \$15,000 or \$20,000.

My tendency right now is to say to the two cochairmen that we are not going to approve the enlargement for public interest. The public can go to the library, the University of Kentucky King Library, and go to lots of places and pick these things up free.

So it's already there. They could get it from the Superintendent of Documents. That's miniscule. We are talking about \$15,000 or \$20,000, but that just goes on and on and on.

Senator REID. You see, Wendell, that the problem that we have is the taxpayer doesn't define where their dollar goes. We would just be playing a game of shuffling cards, but it is still the same taxpayers' dollars that pay for the stuff that is printed.

Senator FORD. I understand. If you look at the total picture, I understand that.

Senator REID. My point is this: Sure, the legislative branch has 35,000 plus employees, but we could eliminate the Library of Congress, which has 5,000, General Accounting Office 5,000, Government Printing Office 5,000. And now we are down to 20,000, but we haven't relieved the numbers. We haven't accomplished anything.

Senator FORD. Let me talk about the one area that we are discussing this morning. The 5,000 employees that are there, we need to put in a program as it relates to paper waste, utilization of employees, the cases under EEO need to be moved out—you got 78 backlogged over there. So you need to move those things out.

There are a lot of things you could do to be very efficient. So you schedule your employees, you schedule your printing, other than what is required by the legislative branch to have their record back and to respond to it very quickly.

You know and I know that we get requests for, "Where is my agriculture book for the year? Where are my calendars for the year?" We have reduced that down to where it is a minimum amount.

So I think we need the oversight, particularly in this area, to be sure that we coordinate the printing and save money. I think we could save \$1 billion a year if we have the Government Printing Office based on the premise in which it was originally organized. We have to become more efficient schedulewise, and to get rid of some of the heavy expenses at the top.

ADDITIONAL COMMITTEE QUESTIONS

Senator REID. I appreciate your being here.

Senator FORD. All right.

Senator REID. I'm glad we didn't need the lawyer.

Senator FORD. I brought the best one we have. [Laughter.]

[The following questions were not asked at the hearing, but were submitted to the joint committee for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

REDUCTIONS IN ADMINISTRATIVE EXPENSES

Question. The President recently issued an Executive Order to reduce administrative expenses by 14 percent by 1997. The Joint Leadership of the Congress has endorsed that goal for the Legislative Branch. How would you define administrative expenses? What steps would you take to cut back on administrative overhead/administrative expenses of the Joint Committee on Printing to achieve a 14 percent reduction by 1997?

Answer. I would define administrative expenses to be all funds dispensed in the management operation of the office. In the Joint Committee's case, this applies to salaries for summer interns, staff travel, telephone charges, stationery and related office supplies, publications, seminar/conference fees and expenses related to holding Congressional hearings. I am proud of the fact that during my past Chairmanship

of the Joint Committee, we were able to return a substantial portion of our budgeted administrative expenses for each of those two years. As has been my previous practice, staff travel would be allowed only in the most extreme and needed cases.

JCP STRUCTURE AND ROLE

Question. You indicate the JCP acts as a kind of board of directors over the GPO. Why is it necessary or desirable to vest overall administrative direction of GPO in a joint committee of the Congress?

Answer. The "overall administrative direction" of the GPO is not vested in a joint committee of Congress. While the Joint Committee has some oversight responsibilities with respect to GPO, the Public Printer, who is appointed by the President and confirmed by the Senate, has primary statutory responsibility over a number of far reaching GPO functions.

In addition to GPO oversight, the Joint Committee on Printing has a number of other statutorily imposed responsibilities. One of these is the power to set the standards for government paper and to purchase it. Over the past several years, I have instituted recycled paper standards for the government which have had very positive effects on the availability of recycled paper and its decreasing cost for both federal and non-federal users.

Question. Why not just establish a board of directors and abolish the JCP and create a Congressional printing office?

Answer. I believe oversight of printing and federal publications dissemination is a worthwhile congressional function and that it should continue to be. I don't see a Board of Directors filling the responsibility of members of Congress with respect to this important role.

GPO TRANSFER

Question. The Government Printing Office provides printing services for the entire Federal government in addition to providing Congressional printing and binding. The GPO has about 5,000 employees. Its employees are considered employees of the Legislative Branch and always show up in the total cited by critics of Congress as for example, the charge that the Congress has 38,000 staff. Why wouldn't it be a good idea to make GPO an executive branch agency while maintaining a small, highly efficient, technologically advanced Congressional printing office to produce the Congressional Record, hearings and other Congressional documents?

Answer. The short answer is because it would end up costing the Government more money—specifically, it would cost Congress about 50 percent more to produce its products. It would also result in less public access to government information.

The Government Printing Office performs a number of interrelated and necessary functions. It uniformly prepares, formats and reproduces all Congressional publications in simplified, low cost form and catalogs and disseminates them in the requisite numbers to the Congress and the public. GPO essentially performs these same functions for the executive branch and ensures that competitive procurement and low cost formats render the lowest cost and that public dissemination requirements are adhered to.

If a separate duplicative executive GPO were set up, it would need to serve all of the same functions—publication preparation, printing or broad-based procurement, cataloging and dissemination to the general public and the depository libraries. Historically, the executive branch has not been diligent in its public dissemination requirements.

An "in-house" congressional printing office, regardless of technology, would also need to perform all of these functions. We already have these functions being performed government-wide by the GPO. Splitting the GPO into two entities would wind up costing more taxpayer dollars to get the same information published and would get less of this more costly information back into the hands of the people who have paid for it.

Question. Are there good reasons to not abolish or transfer the GPO to the Executive Branch?

Answer. Under the past two administrations there have been several Executive Branch agencies that have attempted to do this without benefit of law. The Department of Defense and the General Services Administration are principal. The effect has been significant increases in costs, duplication, failure to supply the depository library system with publications and layering of personnel. Over the past two years the JCP has identified some of those activities and I believe if we can curtail them, we can find President Clinton another large cut in Government costs.

Question. Are there ways to improve GPO's effectiveness and efficiency? What initiatives does the JCP have under way or planned in this regard?

Answer. President Clinton recently removed President Bush's Public Printer and replaced him with Acting Public Printer Mike DiMario. If Mr. DiMario is to be effective, I believe he will have to stem what has been carried as a loss on GPO's books over the past two fiscal years—that was over \$5 million as of September 30, 1992 and is estimated at over \$4 million for the past 4 months.

The Joint Committee has already identified areas of excessive costs in the Agency. The Acting Public Printer needs to significantly reduce the size and expenditures made for his senior management team.

The GPO tendency is to raise its rates which are high already. The Joint Committee has tried to get the GPO rate charges under some control and has advised the new Acting Public Printer that he will have to find his dollar shortfall internally.

In the past several years GPO's procurement arm has been so extensively used that 90 percent of GPO's jobs are manufactured outside its plant so that costs of their facilities and the productivity of their very capable work force are grossly under utilized. The Acting Public Printer needs to bring enough work back in-house to maximize the value of the workforce and the plant equipment he has. In addition, he needs to bring the quality control mechanisms he uses to police his private sector printers into his own plants.

An Acting Public Printer is a short term solution for new leadership at the Agency. In the short term, the Agency simply needs to get its act together. The Joint Committee will finalize the current audit and hold hearings to publicly ventilate the problem. What I'm talking about can be accomplished within 12 months and I believe once on a sound footing the Agency can more successfully address the long term needs of the government's electronic information flow.

Question. If we moved the GPO downtown, so to speak, wouldn't it be possible to abolish or drastically reduce the Joint Committee on Printing?

Answer. The Joint Committee on the Organization of Congress is considering all kinds of possibilities including abolition and/or reduction of all Joint Committees. I would be more comfortable hearing the debate made in the context of the entire Committee structure.

The Joint Committee is dealing with business the Congress needs to deal with, and as long as I am Chairman we are looking for costs to cut. We may very well find a billion dollar reduction the Clinton Administration hadn't counted on.

ELECTRONIC INFORMATION TECHNOLOGY AND GPO

Question. It has been something of a cliché that we live in the "Information Age" in which technological advances are rapidly erasing the boundaries between conventional forms and modes of communication. With the proliferation of sophisticated means of electronic publication and dissemination of documents why do we even need a centralized GPO?

Answer. For the past two administrations, the executive branch has been bleeding off GPO work by attempting to build up in-house capacity and their own contracting. This "decentralization" has resulted in increased costs for Congress and the agencies and a loss of information flowing into the depository library program. In a shocking number of instances the "savings" claimed by the decentralizers is actually a "privatization" of government files that the Government ends up buying back.

Changing the printing process from offset to electronic really doesn't change the economies associated with centralized procurement, cataloging and distribution. GPO has always performed these functions in traditional print and continues to perform these important functions as we move into the electronic publication area.

Question. Wouldn't it be just as cost effective to allow the agencies to acquire these new technologies and handle their own publication requirements?

Answer. Over the past decade, technology has made it cost and time efficient to accomplish typesetting tasks as close to the originator as possible. The Joint Committee has long supported the cost-effective use of desktop publishing technology for the creation of reproducible masters at Departments and Agencies in coordination with their own Central Printing and Publishing Management Organizations. However, misusing this desktop technology for mass production of publications is in fact very uneconomical and can lead to large numbers of fugitive publications that escape from public access. One recent example of misuse of electronic printing technology and the effects of decentralized printing is GSA's end of fiscal year acquisition of 20 "DocuTech" electronic duplicators at some \$300,000 each. These machines are not being run at maximum efficiency levels and are costing the government about 4.5 cents per copy. Similarly the Resolution Trust Corporation was recently reported as copying documents at 67 cents per copy. This compares to GPO's competitive term duplicating contracts which usually run less than 2 cents a copy. Mass production, utilizing electronic, xerographic or more traditional technologies is most

economically achieved through GPO's establishment of contracts through the competitive bidding process which in turn facilitates orderly distribution.

Question. As you know, the Secretary of the Senate has been carrying out a multi-year program of automating many of the legislative functions of the Senate. For example: The Congressional Record can now be transmitted directly from the Records Office to the GPO electronically, thus eliminating the costs of rekeying the Record once it arrives at the GPO. Despite these improvements however, the cost allocated to these functions have not been reduced. Thus the Senate is getting no credit for the efficiencies realized by our multi-million dollar investment. Can you explain why this is and what the JCP thinks should be done about it?

Answer. It is my hope and expectation that in time these savings will materialize. The conversion is not complete, and I am sorry to say that the Government Printing Office has been one of the foot draggers here. In the question of rates, this is just one of a number of situations where GPO's accounting systems seem to fall hardest on the Congress. Three years ago, the General Accounting Office audited GPO at my request and identified this among other problems. Chairman Rose has followed suit with the recent Arthur Andersen financial audit. I think we are going to get on top of this situation but the question is well taken.

DEPOSITORY LIBRARY PROGRAM

Question. The Subcommittee received a considerable volume of mail from librarians concerning the depository library program which was provoked by a letter from the Superintendent of Documents referring to a shortfall in funding for this program. As you are aware, last year the funding provided was within \$1.2 million of the request. More importantly, the depository appropriation was increased to \$25 million, a 10.6 percent increase over 1992, in a year the overall legislative budget was reduced. What caused this misunderstanding?

Answer. It is my understanding that last year's increase in appropriations was supposed to deal with just such a situation. As I understand from Chairman Rose's House testimony, this problem primarily arose due to other budget considerations inside GPO. I am told that the Superintendent of Documents has now targeted internal cost reductions, hopefully with a clear notion of their consequences. The Joint Committee on Printing intends to play an active role in determining what cost saving measures can be taken by all of GPO, Superintendent of Documents included, to do more for less. I also intend to encourage GPO's electronic dissemination of government information during my term as Chairman and feel confident that ultimately this will result in substantial savings.

QUESTION SUBMITTED BY SENATOR CONNIE MACK

COMPARABLE REDUCTION

Question. Senator Ford, as Chairman of the Senate Rules Committee, you are responsible for reviewing the budgets of the standing, special and select Committees of the Senate. Yesterday the Senate adopted S. Res. 71, authorizing funding for those Committees for the next two years and incorporating your proposal to reduce that funding. As I understand it, the rubric you used to arrive at the overall reductions was to: (1) hold non-recurring expenses constant at the 1992 level; (2) allow recurring salaries at 90 percent of the 1992 level; (3) allow a 3.7 percent COLA increase over the amount necessary to fund 90 percent of the 1992 salaries.

In fairness, shouldn't we apply this same formulation to your budget and reduce funding for the Joint Committee on Printing below last year's level?

Answer. As you may know, this budget request was submitted by my predecessor, Charlie Rose of North Carolina, and I appreciated his restraint in its preparation. In my current capacity as Chairman of the Joint Committee, I will of course, operate under whatever appropriation is finally agreed upon. However, I do wish to point out that the Joint Committee has been operating at the same funding level for the last two years with no increase in personnel nor administrative expenses requested. The \$30,000 increase was asked this year to supplement a shortfall in the Committee's personnel benefits category, specifically FERS, the new Federal Employees Retirement System. During my last Chairmanship of the Joint Committee, we were able to return approximately 12 percent of our annual budget in each of those two fiscal years. During this current term, I want to assure the Members of this Subcommittee that as in the past, I will not spend any more money than is necessary for an effective and efficient operation of the Joint Committee on Printing.



GENERAL ACCOUNTING OFFICE

STATEMENT OF CHARLES A. BOWSHER, COMPTROLLER GENERAL

ACCOMPANIED BY:

MILTON J. SOCOLAR, SPECIAL ASSISTANT TO THE COMPTROLLER GENERAL

JAMES L. HOWARD, ASSISTANT COMPTROLLER GENERAL FOR OPERATIONS

JOAN M. DODARO, DEPUTY ASSISTANT COMPTROLLER GENERAL FOR HUMAN RESOURCES

RICHARD L. BROWN, DEPUTY ASSISTANT COMPTROLLER GENERAL FOR OPERATIONS

J. DEXTER PEACH, ASSISTANT COMPTROLLER GENERAL FOR RESOURCES, COMMUNITY, AND ECONOMIC DEVELOPMENT

FRANK C. CONAHAN, ASSISTANT COMPTROLLER GENERAL FOR NATIONAL SECURITY AND INTERNATIONAL AFFAIRS

PREPARED STATEMENT

Senator REID. Good morning, General.

Mr. BOWSHER. Good morning, Mr. Chairman.

Senator REID. The second witness this morning is Mr. Charles Bowsher, Comptroller General of the United States. You can identify those that are with you in just a minute or two.

The General Accounting Office request for fiscal year 1994 is \$497.6 million. This is an increase of \$42.4 million, or 14.3 percent, over last year. No additional positions above the current level of 4,900 are requested.

The committee, as I have indicated, Mr. Bowsher, welcomes you and your colleagues. We have your prepared remarks, which will be made a part of the record.

[The statement follows:]

STATEMENT OF CHARLES A. BOWSHER

Mr. Chairman and members of the Subcommittee, I am pleased to be here today to present the fiscal year 1994 appropriation request of the U.S. General Accounting Office.

FISCAL YEAR 1993 FUNDING

The fiscal year 1993 funding level is challenging GAO to do more with less. Although budgets have been tight over the past several years, GAO has been supported by the Congress with the funding needed to perform our mission and continue to modernize our operations. But in fiscal year 1993 funding was reduced by \$7 million below the level appropriated for fiscal year 1992. In addition, we lost another \$5 million in rent collections resulting from the Bureau of Labor Statistics vacating space in our building, and we are required to reduce our staff by 162 average positions. This will be the lowest staff authorization in 10 years. These budget reductions have required us to substantially cut back or slow down our travel, training, and acquisition of modern technology.

Absorbing these reductions, along with nearly \$31 million in increased mandatory pay and related costs and inflation, is being accomplished through attrition and a strict hiring freeze as well as many reductions in services. In effect through most of calendar year 1992, the hiring freeze, if continued, will have a longer term effect

on our ability to attract high quality college graduates. Many years were needed to build our highly successful recruiting program, which has now been suspended. As a result of this program, in the last 3 fiscal years over 73 percent of our new evaluators have graduate degrees and over 70 percent of these had a 3.5 or higher grade point average on a 4.0 scale. In the longer term, we will be increasingly challenged to provide the vitality that comes from attracting, motivating, and retaining new staff, who can bring a fresh way of looking at old problems.

We began this year with more staff on board than we expect to have by next October 1. Attrition continues to be half or less of normal levels. This, coupled with mandatory pay and related costs plus inflation, has resulted in a 25 percent funding reduction in travel and training—both vital to our mission—with no apparent reductions in congressional demand for GAO work. Even with careful management we are concerned about our ability to undertake as many critical assignments as needed. We are equally concerned about being able to complete them in a timely manner.

Carrying the current budget level through fiscal year 1994 will severely challenge us to maintain current service levels. At the same time, we recognize that the Congress is faced with challenges to reduce the size of government and strict budget limitations that could result in further reduced resources for GAO. Therefore, our budget request for fiscal year 1994 presents only what is needed to permit essential travel, essential contracting for specialized expertise in support of audit and evaluation assignments, continued removal of asbestos from the GAO building, and equipment purchases necessary for the use of professional staff in the performance of their audit work. We hope to be able to work with the committee on developing a well thought out plan to ensure the appropriate level of resources needed to do work for the Congress. By working cooperatively, we can avoid the demoralizing impacts of disruptions in our service to the Congress and a reduction-in-force.

FISCAL YEAR 1994 APPROPRIATION REQUEST

For fiscal year 1994, we are requesting \$497,585,000. As compared to fiscal year 1992, our 1994 request is about an 11 percent increase, which will enable us to return to the 1992 level of services. The request does not provide for the restoration of any of the 162 average positions cut in fiscal year 1993, but is to cover essential activities and our reduced 4,900 average positions. Fifty-three percent of the increase is actually to fund mandatory pay increases in personnel compensation and benefits and inflation in the price of goods and services at the already reduced fiscal year 1993 levels.

We are requesting that the reductions made in training and permanent personnel moves be restored so that we can put the right people in the right locations with adequate travel resources and necessary training. We are also requesting the minimum funding required to maintain progress on asbestos abatement and renovation so that we can save money in the future by bringing staff presently located in temporary rental space back into the GAO building. Consistent with Legislative Branch telecommunications initiatives, we need to continue to install modern telecommunications equipment to improve staff communications. Additionally, we need to continue to meet staff needs for microcomputers, and to move ahead with our efforts to test and evaluate assignment-related applications on our pilot computer network. An interconnected system of microcomputers will enhance the ability of our geographically dispersed staff to respond to growing congressional information needs. These expenditures are critical to any modern organization and will play a role in our ability to enhance efficiency and continue to carry out our mission with the current reduced staffing.

I would note that gains in efficiency through investment in modern technology, successful recruitment of talented people over the years, and a heavy investment in training have allowed us to increase our productivity and enhance the quality of our services to the Congress over the last decade.

FISCAL YEAR 1992 HIGHLIGHTS

In fiscal year 1992, as in prior years, we continued to concentrate on addressing major national issues pending before the Congress. Events are unfolding in the United States and around the world at an unprecedented pace. The worldwide political and economic restructuring has important implications for the future of U.S. competitiveness in international markets and for defense force reduction and realignment. At the same time, problems associated with the budget deficit continue to challenge the nation's ability to provide programs and services in crucial areas such as health care, education, energy, transportation, finance, economic development, and the environment. As the Congress attempts to deal with these and other issues, it increasingly turns to GAO for analysis, information, and support. As a re-

sult, in 1992, the magnitude and complexity of our work load continued at record high levels. Since fiscal year 1988 and without any staffing increase, the total number of our reports, testimonies, and fact sheets has increased by 12 percent, new congressional job starts have increased by 25 percent, measurable financial benefits have increased by 54 percent, and recommendations made in our reports and testimonies have increased by 72 percent.

Agency goals during the past year continued to focus on how best to serve the needs of the Congress—making GAO more responsive, producing high quality and timely products and services, and identifying trends that require the commitment of future resources. Significant issues addressed during fiscal year 1992 include the following:

- In the budget area, GAO issued a comprehensive report examining the influence of federal fiscal policy on economic growth and addressing the long-term implications of the Federal budget deficit.
- In the defense area, GAO's reports on Operation Desert Shield/Desert Storm provided the Congress with up-to-date costs and funding requirements as well as efforts related to combat systems effectiveness and force deployment, including evaluation of training preparation and the roles and experiences of military women.
- In the food and agriculture area, GAO sponsored a forum for congressional staff and rural development community representatives to examine the problems affecting rural America, their underlying causes, and policy alternatives for addressing them. In addition, GAO's management review of the U.S. Department of Agriculture (USDA) and subsequent testimonies led to the introduction in both the House and Senate of legislation to reorganize the department and to the formation of a combined OMB and USDA task force to streamline the department.
- In the financial markets area, GAO's reports on international securities found that the Commodities Futures Trading Commission lacked the legislative authority needed to fully share information and cooperate with foreign regulators and that the Securities and Exchange Commission was not collecting important information on financial activities of U.S. securities firms' unregulated affiliated, broker-dealer holding companies.
- In the health area, GAO reports analyzed options for containing the rapidly escalating cost of health care, improving access to health care for the 35 million Americans who lack any health insurance, and overcoming federal barriers to implementing health care reforms of various states.
- In the financial management area, GAO trained over 1,000 executive branch staff to perform financial audits, published new financial audit methodology for Chief Financial Officer Act audits, and developed software tools for conducting the audits.

The value of our work to the nation continued during this past year as recommendations issued in prior years continued to be implemented. For instance, 1,171 of our recommendations made over the last 5 years were implemented. In addition, we made 1,715 new recommendations in fiscal year 1992 citing specific actions that the Congress and federal agencies could undertake to improve government operations and reduce costs.

Examples of significant government financial benefits resulting from our reports or testimonies follow.

- GAO continued to scrutinize annual Department of Defense funding requests for military operations. As a result of this work, the Appropriations Committees reduced military services' operation and maintenance and air defense initiative budgets by over \$5.5 billion.
- GAO identified weaknesses in the systems, controls, and procedures used by the Air Force to budget for reparable spare parts. Acting on our recommendations, the Senate Appropriations Committee reduced the Air Force's fiscal year 1992 budget by \$73 million.
- The Congress rescinded \$14.7 billion of supplemental funding for Operation Desert Shield/Desert Storm and terminated the Persian Gulf Regional Defense Fund. We had provided the Congress with numerous testimonies, reports, and briefings on DOD's access to the funding.
- GAO continued to target specific improvements in Medicare. Congress adopted our recommendations to extend the secondary payer provisions for Medicare disability beneficiaries resulting in savings of \$891 million to the Medicare program.
- GAO's reports on USDA major computer systems acquisitions and systems capacity management led to savings of \$214 million at the Farmers Home Admin-

istration, the Agricultural Stabilization and Conservation Service, and the U.S. Forest Service.

—GAO had provided the Congress with 17 reports and testimonies since March 12, 1987 that addressed the design and construction of 2 new tritium production reactors. In September 1992, the Secretary of Energy announced that this program would be deferred and reactor design efforts would be brought to a prompt and orderly closure. Future savings resulting from this decision are conservatively estimated at \$3.5 billion, based on the lower cost of the 2 reactor alternatives.

—The Department of Justice collected a \$25 million fine in an out-of-court settlement with Exxon related to the *Exxon Valdez* oil spill. In preparation of its criminal case against Exxon, the Department's use of GAO's cost figures, developed from extensive records analysis and interviews with officials of the 10 federal agencies involved in spill-related activities, avoided duplication of efforts and was essential to the Department's investigation.

In addition, 192 of our recommendations adopted in fiscal year 1992 resulted in significant, nonmonetary accomplishments that led to substantive improvements in government operations. Examples are as follows:

- The Department of Defense made several improvements to the 1993 base closure review process, which will affect at least 15 bases, addressing problems noted by GAO with the Cost of Base Realignment Action (COBRA) Model.
- The Department of Veterans Affairs adopted a GAO recommendation to revise medical criteria in its disability rating schedule for which the last comprehensive update had occurred in 1945.
- Based on GAO work, the Congress and Treasury made changes to the Tax-Exempt Bond Program to ensure that housing projects financed with such bonds better serve lower income renters.
- The Secretary of the Treasury simplified 5 federal tax deposit rules in line with GAO recommendations that employers be required to make deposits at specific time intervals and be advised in advance of the deposit dates.
- The Department of Education implemented 10 GAO recommendations to enhance management and strengthen support systems and services.
- The Congress authorized national early intervention and evaluation of tuition guarantee programs to increase the access of low income and potential first generation college students to postsecondary education. We had reported on the success of private programs in these areas at increasing access of poor and minority youth to higher education.
- The Congress took action to encourage states to enact motorcycle safety laws. We had reported that helmet laws reduced fatalities by 20 to 40 percent and substantially reduced costs of care for injured riders.
- The Health Care Financing Administration implemented a GAO recommendation to conduct Medicare cost effectiveness reviews and to determine the extent to which information resources management guidelines apply.

We will require additional funding (1) to devote sufficient resources to work addressing major issues of high congressional and national concern, (2) to continue work on areas where long-standing problems involving billions of dollars are at stake, and (3) to assess the costs and the effectiveness of other federal programs.

INFORMATION RESOURCES TECHNOLOGY

We have made good progress in our efforts to pilot a computer network and to develop and test mission-related applications on the network. We expect to issue a final report on the benefits of the network pilot in fiscal year 1994. Assuming that analysis demonstrates substantial benefits to GAO's operations, we will request funds to implement an agency-wide network in our fiscal year 1995 appropriations request.

ASBESTOS ABATEMENT IN GAO BUILDING

During the past year, the asbestos abatement and space renovation activities have continued. The renovation of another full floor of the headquarters building will be completed in fiscal year 1994 and asbestos abatement work and renovation will be ongoing on other floors. During this same period, we also will continue to renovate the building's 50-year-old mechanical support systems. Since we took ownership of the GAO building, maintenance and renovation have proceeded at a cost much less than the rent we would have had to pay to the General Services Administration.

ADOPTING QUALITY MANAGEMENT INITIATIVES

We recognize that our future success requires a firm commitment to continuous improvement. We must increasingly ask whether our traditional approaches to managing and performing our work will enable us to meet the challenges of the future with a smaller work force. Our work load is becoming larger and more analytically and technically complex, even as budgets become more constrained. As a result, we receive far more requests than we have resources to satisfy. Under these conditions, we must continue to seek innovative ways to work more efficiently.

To that end, we have taken steps to institute quality management, a leadership philosophy that sets quality as the primary goal of everyone in an organization and establishes continuous improvement as a way of life. Quality management emphasizes management by fact and offers a comprehensive approach to managing that has helped both public and private-sector organizations make significant changes in quality, efficiency, and effectiveness. One of the key strengths is that it involves all people in the organization in quality improvement efforts. We believe quality management will allow us to provide much higher levels of service to all of our customers.

In 1992, the first full-year of our quality management initiative, we gathered information on processes that we are using to set priorities for improvement for the next 4 years. We surveyed a sample of congressional staff, including both majority and minority, to elicit views on what we can do to better help Members of Congress and their staffs meet their legislative responsibilities. We also charted our core processes—the way we do our work and report our findings—and found many areas for improvement, including reducing duplication of effort, developing a common definition of quality, and improving staffing of jobs. In addition, we assessed our system of performance measurement and identified ways to improve it.

REFORMS IN POLICIES AND PROCEDURES

Mr. Chairman, a number of concerns have been raised during recent legislative appropriations hearings that I would characterize as dealing with the quality and objectivity of our work, and the fairness of certain procedures we have followed in working with the Congress. First let me say that we go to extraordinary lengths to ensure that our products are of the highest quality, and we have always taken great pride in the nonpartisan nature of our work. Some changes made in recent years have begun to pay off. Nonetheless, as we studied congressional concerns, we agreed that we should reexamine certain of our policies and practices, especially as they relate to congressional requests, to see if some additional changes might be needed.

After discussions with the leadership and a number of Members of both houses, we have made what I believe are some very positive changes and are considering several others. I'd like to discuss our current thinking.

- First, we have strongly reinforced to our staff our policy of including minority Members and staff in early discussions of our work plans to ensure that we are considering their interests and priorities.
- We will no longer undertake assignments in which the requester is unwilling to be identified as the source of the request. We will, of course, continue to treat confidentially any assignment for which disclosure would jeopardize the success of the work.
- We are now sending a monthly listing of all new job starts to the House and Senate majority and minority leadership. This is in response to a requirement in the conference report on the fiscal year 1992 legislative appropriations bill. This listing can enable congressional committees and members to become aware of new GAO assignments early on.
- We have also reduced the number of congressional detailees serving unusually long details. Although it is our position that Hill assignments are valuable experience for our staff and that detailees provide a valuable service to the Congress, some of the difficulties involved in providing that service have caused us to reconsider our specific policies regarding detailees. Some specific proposals for your consideration are (1) providing reimbursement for detailees after a fixed period, (2) requiring that staff members return to GAO for at least 2 years after a detail before being considered for another detail, and (3) limiting the total number of GAO detailees.

Other changes under study include:

- Exercising greater control over decisions about when and how to obtain agency comments on congressionally requested work. We believe many cases now exist in which we could provide the agency an opportunity to comment, enhance the quality of the report, and still satisfy the needs of congressional requesters in a timely manner. Our preference would be to provide agencies with shorter peri-

ods of time in which to comment on most reports, while taking steps to ensure that in all cases, we issue our reports promptly.

- Reducing the current 30-day hold period, during which requesters can limit distribution of our final reports to others in Congress. This will permit more timely dissemination of the results of our work to other interested parties, such as other Members of Congress, agency officials, and the public.

OVERSIGHT OF GAO

Periodic congressional oversight is critical to the effective operation of any agency, and it is particularly important at GAO due to our significant role in serving the Congress. In addition, most professional organizations provide for an external, independent review of their work. Because of the broad scope of our mission, and the diversity, complexity, and sensitivity of many of the issues addressed in our audit and evaluation work, finding a single organization or group of individuals with the high levels of expertise and independence needed to assess the quality of our work is especially difficult. Also, our earlier efforts (in 1988) to have a CPA firm conduct an external quality control review of GAO were met with some congressional concerns that such activities were better left to the congressional committees with responsibilities for overseeing our operations. In 1992, I established an Audit Advisory Committee to provide advice on our financial operations. The committee is composed of three distinguished individuals from outside of GAO:

- Sheldon Cohen (Chairman) is a CPA and an attorney with Morgan, Lewis & Bockius; former IRS Commissioner and Chief Counsel; and Secretary and Trustee of the National Academy of Public Administration.
- Alan B. Levenson is an attorney and senior partner with Fulbright and Jaworski and a former senior official at the Securities Exchange Commission.
- Katherine D. Ortega is a CPA and an attorney, former Treasurer of the United States, former Commissioner of the Copyright Royalty Tribunal, and former Member of the President's Advisory Committee on Small Minority Business.

The Audit Advisory Committee will independently monitor, review, and report to me on the effectiveness of our (1) financial reporting and auditing processes, (2) internal controls over financial operations, and (3) processes to ensure compliance with laws and regulations that could significantly impact our operations.

Our internal quality review program—the Post Assignment Quality Review System—continues to operate agencywide to ensure that audit and evaluation activities are conducted with the highest degree of professionalism and conform to all applicable quality standards. We also have a Quality Control Review Board, consisting of 4 distinguished individuals from outside of GAO, to provide perspectives and advice on the effectiveness of this quality assessment program. The Board members are:

- Elliot L. Richardson (chairman), attorney; formerly Attorney General, and Secretary of the Departments of Commerce, Defense, and Health, Education, and Welfare.
- John C. Burton, Columbia University Professor, CPA; formerly Chief Accountant of the Securities and Exchange Commission and Deputy Mayor of New York City.
- David F. Linowes, University of Illinois Professor, CPA; formerly chairman of Commissions on Privacy Protection, Privatization, and Energy Resources.
- John Rhinelander, attorney; formerly Under Secretary of the Department of Housing and Urban Development, General Counsel of the Department of Health, Education, and Welfare, and legal advisor to the State, Navy, and Commerce Departments.

We are working with our appropriations, as well as oversight, committees to reach agreement on an acceptable external review structure and process. When agreement is reached, we hope to implement such a program as soon as possible.

THE 1992 TRANSITION REPORTS

In response to the Speaker of the House of Representatives and the Majority Leader of the Senate, we prepared a series of transition reports which pointed out that the state of management in the federal government is not good. Too many principles, structures, and processes that may have worked well years ago no longer allow the government to respond quickly and effectively to rapidly changing circumstances and events.

We issued a similar set of reports in 1988. We believed then—and we continue to believe today—that the breadth of our oversight responsibilities and the large body of work that we have performed over the years gives us a special perspective on the problems facing our government. We believe that we have a responsibility

to share that perspective with those in Congress and the executive branch who are in a position to deal with the issues we have identified.

This year's series includes 28 reports, 2 more than in 1988, and, as in 1988, involves three levels of analysis and discussion. One level deals with broad policy issues affecting government as a whole and its relationship to the economy. In this category are the reports on the budget deficit and investment. A second level of analysis deals with cross-cutting management issues, including financial management, information management, program evaluation and the public service, that affect a number of departments and agencies. The third level deals with issues affecting individual departments, agencies and policy areas, such as defense, energy, and the Internal Revenue Service.

In some cases progress has been made since 1988, and some of that progress is remarkable. In other cases, however, the problems have continued to fester and grow worse. In still other cases, new problems have emerged or old problems have taken on a new dimension, even more serious than the ones we highlighted in 1988. It would be naive to think that these problems and issues—some of which have been decades in the making—could be dealt with overnight. If the problems were easy, they would have been solved before now; if the issues were simple, there would be no controversy about how to resolve them. Dealing with these challenges will take the best efforts of everyone.

HIGH RISK REPORTS

Widespread financial management weaknesses are crippling the ability of our leaders to effectively run the federal government. Reducing the federal deficit requires monumentally difficult decisions. If our government is to make these decisions in an informed manner, it must have better financial information.

When we started our high-risk program in November 1989 to examine 17 programs involving tens of billions of dollars that are particularly vulnerable to fraud, waste, abuse, and mismanagement, we reported that the government's efforts to strengthen its programs and implement the Federal Managers' Financial Integrity Act had not produced the results intended by the Congress. Today, as 4 years ago, these high risk areas can trace many of their difficulties to a common source: severe, fundamental weaknesses in financial management. These weaknesses have contributed to such problems as insufficient oversight of hundreds of millions of dollars distributed under the Department of Education's guaranteed student loan programs, the Internal Revenue Service's inability to manage billions of dollars of tax receivables, and the Department of Defense's inadequate control over billions of dollars worth of inventory.

Our focus was on finding the root causes of program vulnerabilities and on directing management attention to these issues. It was evident then, and is much the same today, that the government did not have the internal control and accounting systems necessary to effectively operate many of its programs and safeguard its assets; many of the weaknesses were long-standing and had resulted in billions of dollars of losses and wasteful spending; the public perceived the federal government to be poorly managed, with little or no control over its activities; and top-level officials needed to provide leadership if this situation was ever to change.

Progress in changing this situation has been slow. Not only does the federal government do an abysmal job of rudimentary bookkeeping, but it is also far from having the modern financial systems one would expect of a superpower. At present, the federal government runs the world's largest financial operation without reliable information needed for making informed decisions. It annually spends about \$1.5 trillion—almost a quarter of the country's gross national product—using unreliable systems and ineffective controls. In addition, it manages hundreds of programs, many of them individually larger than our nation's biggest publicly owned corporations, without adequate knowledge of their financial condition and the results they achieve.

Most agencies have not created a strategic vision for the future, most lack good systems to collect and use financial and program information to gauge operational success and accountability, and many do not have people with the necessary skills to accomplish their missions. These elements are essential for any organization to succeed, but they usually do not command the attention of senior political officials coming into government. After all, these elements do not appear to be directly related to the development of an administration's policies and programs and, therefore, do not seem important to achieve its goals and objectives.

CONCLUSION

Before completing my statement, I would like to point out that we marked another successful year of service to the Congress and the American people in fiscal year 1992. We produced 1,573 audit and evaluation products, including 1,117 reports to the Congress and agency officials, 167 formal congressional briefings, and 289 congressional testimonies delivered by 72 GAO executives. We also produced almost 4,000 legal decisions and opinions. In addition, our work contributed to legislative and executive actions resulting in a record high of more than \$36.2 billion in measurable financial benefits, or \$82 for every dollar appropriated to GAO.

I am pleased that in recent years we have been able to provide the Congress with increasing numbers of products without staffing increases. My goal is to maintain these high productivity levels, even with lower staffing resources, through continued improvements in our training curriculum, acquisition of modern technology, and renovation of our working environments. With these support systems, we should be able to improve the efficiency and effectiveness of our work force and, thereby, continue to produce high quality products that are essential to the oversight requirements of the Congress as well as lowering the cost of government to the American taxpayer by identifying annually billions of dollars in better uses of limited federal resources.

I want to thank you, Mr. Chairman and the members of this Subcommittee, for your past support of GAO. I urge your continued support as we strive to become more efficient and effective in meeting the needs of the Congress. I would be pleased to respond to the committee's questions.

OPENING REMARKS

Senator REID. If you have a statement you would like to make, please proceed, and then the subcommittee will proceed with our line of questioning.

And you should feel relieved because, for the first time in the fifth year that I conducted these hearings, we had a full crowd here except for today. We had two Republicans, a couple of Democrats. We had this place filled. You're lucky today that you have only got me.

Would you introduce for the record the people who are with you.

Mr. BOWSHER. With me is Milt Socolar, who is the Acting Deputy; next to him is Jim Howard, the Assistant Comptroller General for all operations; Joan Dodaro, who heads human resources; and Dick Brown, who heads financial operations is here at the end. That's our team.

Mr. Chairman, I will provide my statement for the record and just make a few summary remarks. When we developed our numbers, back in October, we didn't know how the elections were going to turn out or what the situation would be.

When we submitted the numbers, we chose not to request any additional people, recognizing that we are coming down from 5,062 to 4,900 average positions this fiscal year with cuts that were made last year in our budget for this fiscal year.

We now recognize that there is a mood to reduce the size of Government, and GAO will work with the committee on that in the next few years.

The big message I would like to make today is that when we do it, we want to do it right. In other words, we want to trim the organization in an orderly fashion so that we don't destroy the talent base that has been built up for well over 25 years here at GAO. It's a very talented and professional group of people.

If the Congress is willing to accept fewer reports and audits from the GAO, then we can bring our staffing down to a smaller organization, and we are prepared to work with the committee there.

As I think I mentioned to you, Mr. Chairman, we started a program of quality management patterned after the work of Dr. Deming. We think that the TQM approach will give us a head start in areas where we could make economies and efficiencies and improve our operations.

I noticed in today's paper that there was an article about President Clinton wanting to use this kind of technique. The approach would be somewhat patterned after the Xerox Corp. and Wal-Mart, which have done it, and I think that makes a lot of sense, myself.

What I don't want to have happen to GAO is what happened to Sears, IBM, or General Motors. Although some people are holding them as a model, I think they are making drastic cuts in desperation and are doing a lot of damage to their organizations. I don't think that's the model that we should be following. We should be following one of the successful private-sector models.

The big question is: Can we implement TQM in the Government? We were in Japan meeting with some of the guru's of this technique, and what we found in Japan is that they have made great progress in their manufacturing companies. We see that in the automobiles and some of the manufacturing items that come to us from Japan.

If you visit even some of the Japanese-owned companies in America where they have started plants like the Honda plant in Ohio, it's very impressive, but they haven't used TQM in the Government, health care, or other such areas. When we met with a professor from the University of Tokyo, he was enthused that a Government agency, such as the GAO, would be taking this on.

It takes a number of years, but what you end up with is a more effective organization. We should end up with one that improves the quality, and that's what I would like to achieve in the GAO. I think you will be very proud of the results we achieve in a few years, and you will get permanent savings. We won't get a peak and valley. I have been through that cycle at the Defense Department, where you get savings in certain years and then you have to build it back up. You end up, lots of times, with less capability by going through peaks and valleys.

We would like to do TQM right. We would like to work with you, and we think we could achieve something really fine for the American people.

EFFECTIVENESS OF GAO

Senator REID. I received yesterday two phone calls from prominent Senators—one a Democrat and one a Republican—and they said, "I hope you're really going to whack GAO this year."

Now, I recognize—perhaps not these two, though I don't know—that could have been as a result of some of the work that you have done. You could have hurt some pet projects of theirs, and that certainly is always possible.

But I don't think we can counterrance this. I don't think we should have Senators or Representatives mad at GAO because of a report that you did. If they have specific reasons why the report was invalid, they should bring it to your attention and go forward.

Mr. BOWSHER. We follow up on all of those concerns very carefully.

Senator REID. As I told you personally and publicly in these gatherings, I think it's important that, at least from my perspective—if I'm wrong, I want you to tell me why you think I'm wrong—I think that self-initiated studies are absolutely wrong. I don't think that the General Accounting Office was set up to go around—and again, correct me if I'm wrong—to go around and search out projects for itself.

The chairman of this full committee last year brought it to your attention. I didn't attend the meeting, but he was terribly distressed about the self-initiated studies by the General Accounting Office in one subject. I spoke to one chairman of one of the full committees here in the Senate who has been distressed over self-initiated studies. One of the gentlemen called me yesterday and was concerned about the thing you and I talked about: namely, having General Accounting Office personnel on television programs being an advocate for one program or against a program.

These are the kinds of things that I think are hurting the agency's effectiveness in the Senate. I don't know about the House, but this is the concern in the Senate. Again, I think the General Accounting Office, if you're doing your job, is going to have to ruffle the feathers of Members of the Senate on things you are asked to look at. Otherwise, we don't need you.

But I do believe that when I see someone on "20/20" or "60 Minutes" that is an employee of the General Accounting Office, they are on a panel arguing a position, I don't think that's the purpose of your agency. I think your people do the work and let the work stand as it may, not debating against a Congressman or Senator. I think that hurts the effectiveness of the organization.

Mr. BOWSHER. Let me discuss two or three issues. The first is, if you check with many of the chairmen in the Senate such as Banking and Armed Services—Senator Riegle, Senator Nunn—many of them would tell you how important GAO's work has been on some very big issues. The health care issue is one we worked on.

But you're absolutely right. From time to time we have Senators on both sides of an issue. We can't always come out with a result that makes everybody happy.

But it's important that we do quality work, and we work very hard to try to do that. We have a very thorough review process.

On the issue of self-initiated work, we don't self-initiate a lot of work anymore, historically speaking. Since I came in, our percentage of direct assistance to the Congress moved from 40 to 80 percent of our work. Under my predecessor, it moved from about 10 or 15 percent to about 35 or 40 percent.

So the trend has continued over the years to do work requested by the committees. We do some requests by individual Members, but not many.

More importantly, it's critical to note that even our self-initiated work is the result of many, many discussions with congressional staff. We have formal strategic and annual work planning processes which require us to involve majority and minority staff early in the development of plans to guide our work and ensure we are responsive to their issues and concerns. We often convene outside panels, or talk with these experts individually, to obtain their

views of the most pressing issues. These discussions, along with the knowledge and insights of our own staff out there doing the work on a daily basis, result in work we label self-initiated.

The important thing on the self-initiated work is there is sometimes a problem that maybe somebody in an elected position really doesn't want a review on. I could give an illustration. That's the staggering losses that the Farm Credit System faced in the mid-eighties. The Farm Credit System borrowed heavily in the long-term bond market, because long-term rates were lower than short-term rates. It was making variable rate loans to farmers based on its average cost of funds. When rates were going up, farm credit was able to offer lower rates to farmers than the competition. But when rates came down, good borrowers started leaving the system, questionable borrowers went bankrupt, and the farm credit reduced its rates below its average cost of funds to keep good borrowers. It lost hundreds of millions of dollars.

So we talked to some of the committee chairmen who just weren't sure that there was a problem and hoped that there wasn't one. So the chairmen said to go ahead and do the work, but they weren't going to request it at that point in time.

Our work verified that there was a big problem out there. It turned out it was a \$4 billion problem, and the chairmen did find our reports useful and requested our testimony on the issue. If we hadn't been able to self-initiate that work, then I think it would have been much worse later surfacing these problems.

And I think auditors have to have the ability to go where they think there is a problem. I have auditors out on 1,000 jobs at any one time, and they see problems or people tell them about problems. So I think we should have the ability to follow up on those potential problem areas.

But I recognize what you're saying, and I think it is important that a vast majority of our work be done for the committees. We are trying to avoid anything like we had with the chairman of the Senate Appropriations Committee. One of the problems was that we didn't have good communications.

GAO APPEARANCES ON NETWORK TELEVISION

Senator REID. Tell us about the members of your staff at the GAO being on television programs.

Mr. BOWSHER. We don't do that very often, and we get tremendous pressure. Our policy is only to discuss the findings of our reports, and that applies to all media, television, radio, or newspapers. We never want to be pitted in the media against a Member of Congress. Nor do we want to sell any particular position.

If you noticed last night on "Primetime Live" there was a GAO report that was mentioned by two Congressmen on the supercollider, but we were not on that program. We get pressure from the electronic press, because they feel they should have the same access as the print press.

I understand your concerns, and I have understood them for about 1 year now. We have been trying to address them very carefully to minimize things that could in any way be misinterpreted.

Senator REID. It took me 2 years to realize this, but I don't have to talk to the press. There is no rule that says an elected Senator

has to talk to the press. And I take that opportunity on occasion that I don't want to, and I have a clear conscience when I do that.

What is the authority for self-initiated work? Let's find out what the authority is.

Mr. SOCOLAR. It would go back to the 1921 Budget and Accounting Act, which set up the General Accounting Office.

Senator REID. I was going to ask that question, also. Give me a little bit about the history of the formation of the General Accounting Office.

Mr. SOCOLAR. Well, the General Accounting Office was formed or created in 1921 at exactly the same time as the Bureau of the Budget. The Bureau of the Budget was created to give the President the ability to control the budget submissions of all of the agencies. Prior to 1921, each of the departments and agencies of Government submitted their appropriation requests directly to the Congress without going through any central control point.

At the time that was done, certain Members of Congress decided that, if the President was going to be given this kind of authority to control the budget, then it was important for the Congress to have a body that could monitor and help the Congress oversee how the executive branch was functioning.

In connection with the basic question that you're asking about self-initiated work, the legislative history of the act and, indeed, the statute itself make it very clear that the Comptroller General was expected at that time to initiate any job he felt there was a need to do.

Senator REID. Is that in the act itself?

Mr. SOCOLAR. Yes; that is in the act, and it's much more emphasized in history itself. There was a particular Congressman who made that point repeatedly. Congressman Good.

Senator REID. Good.

Mr. BOWSHER. Of Iowa.

Senator REID. Did the General Accounting Office ever have a function that was comparable to CBO now?

Mr. BOWSHER. Not really.

Senator REID. Not really?

Mr. BOWSHER. No; in fact, when the Congress created CBO, there was some debate as to whether to give that function to the General Accounting Office, but it was decided to set it up separately. That was in the seventies before I came in here.

Senator REID. In the last few years—few meaning five—what areas does your self-initiated work tend to focus?

Mr. BOWSHER. In the last 5 years it tended to focus on the financial auditing area. For example, we have done financial statement audits of the Army and the Air Force—the first time we had ever done such audits on the military. We are planning to do one on the Navy so that we will have done the three services. In fact, while we call this work self-initiated, the Chief Financial Officers Act of 1990 requires, on a pilot basis, that various executive branch agencies produce, beginning for fiscal years 1990, 1991, and 1992, audited financial statements. The law specifically provides that GAO may, at its discretion or at the request of a congressional committee, perform this financial audit.

We have 36 issue areas. Most of them have much more request work than they can handle. We have very little self-initiated work in the energy, natural resources, and transportation areas. So this work is done only if there is something significant that we feel should be addressed, and nobody is willing to make a request.

A couple of years ago in the military area, we saw that the Air Force was thinking of turning the F-16 into a two-seater. The F-16 had been approved on the basis that it was going to be a one-seater and was going to cost so much.

As soon as our people got wind of that situation, they felt they ought to determine how much it would cost. So we might do something like that as self-initiated work.

By far, the bulk of our work today is request work. Also, we have now done general management reviews of about one-half of the Cabinet-level departments.

Senator REID. What kind of reviews?

Mr. BOWSHER. General management reviews. They are going to be helpful to the new administration as it tries to sort out the management of some of these departments. One we have just done recently is Agriculture. I think that's a department where there is a great potential for savings.

Senator REID. You have done that?

Mr. BOWSHER. We have done that. If we had not done that, I don't think that we would be able to help the new administration nearly as much. Bill Brock, who had just become the Secretary of Labor, was there when we had just finished a management review of the Department of Labor. He said that was the best thing that happened to them, having the report available when he got there.

Senator REID. What I would like you to do, for the last Congress, if you could give a listing in the record of the self-initiated projects that you have had.

Mr. BOWSHER. We would be pleased to do that.

[The information follows:]

1991 AND 1992 WRITTEN REPORTS INITIATED BY GAO

Title	Report number	Date
Army Materiel Command: Factors Influencing Retirement Decisions During 1990 Reduction in Force (391136)	NSIAD-93-28BR	12/31/92
Former Soviet Union: Assistance by the United States and Other Donors (472285)	NSIAD-93-101	12/30/92
Defense Acquisition: Oversight of Special Access Programs Has Increased (392750)	NSIAD-93-78	12/21/92
Undersea Surveillance: Navy Continues to Build Ships Designed for Soviet Threat (395179)	NSIAD-93-53	12/03/92
Financial Systems: Weaknesses Impede Initiatives to Reduce Air Force Operations and Support Costs (392598)	NSIAD-93-70	12/01/92
Navy Maintenance: Fewer Shipyards May Be Needed As Ship Repair Requirements Decline (394428)	NSIAD-93-23	11/18/92
Financial Management: Serious Deficiencies in State's Financial Systems Require Sustained Attention (901525)	AFMD-93-9	11/13/92
Military Communications: Joint Tactical Information Distribution System Issues (395165)	NSIAD-93-16	11/12/92
Property Management: DOD Can Increase Savings by Reusing Industrial Plant Equipment (398094)	NSIAD-93-8	11/06/92

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Officer Commissioning Programs: More Oversight and Coordination Needed (391143)	NSIAD-93-37	11/06/92
Home Health Care: HCFA Properly Evaluated JCAHO's Ability to Survey Home Health Agencies (101416)	HRD-93-33	10/26/92
Johnson Space Center Procurement: Controls Over Payments to Contractors Should Be Strengthened (510768)	IMTEC-93-2	10/23/92
Resolution Trust Corporation: Subcontractor Cash Management Practices Violate Policy and Reduce Income (247085)	GGD-93-7	10/20/92
Resolution Trust Corporation: Asset Pooling and Marketing Practices Add Millions to Contract Costs (247030)	GGD-93-2	10/07/92
1993 Navy Budget: Potential Reductions in Aircraft Procurement Programs (394470)	NSIAD-92-335BR	09/30/92
1993 Navy Budget: Potential Reductions in Weapons Procurement Programs (394469)	NSIAD-92-317BR	09/30/92
Army Training: Long-standing Control Problems Hinder the CAPSTONE Program (393438)	NSIAD-92-261	09/30/92
ADP Procurement: Prompt Navy Action Can Reduce Risks to SNAP III Implementation (510774)	IMTEC-92-69	09/29/92
Department of Energy: Better Information Resources Management Needed to Accomplish Missions (510675)	IMTEC-92-53	09/29/92
Information Resources Management: Initial Steps Taken But More Improvements Needed in AID's IRM Program (510655)	IMTEC-92-64	09/29/92
1993 DOD Budget: Potential Reductions in Command, Control, and Communications Satellite Programs (395178)	NSIAD-92-298BR	09/29/92
Resolution Trust Corporation: Survey Results on RTC's Communication and Real Estate Marketing (247019)	GGD-92-134BR	09/24/92
Tax Administration: Federal Agencies Should Report Service Payments Made to Corporations (268550)	GGD-92-130	09/22/92
Military Airlift: Greater Use of Peacetime Airlift Cargo Capacity Would Reduce Costs (392645)	NSIAD-92-263	09/16/92
Treasury Tax and Loan Accounts: Changes in Collateral Practices Could Reduce the Federal Government's Risk of Loss (901544)	AFMD-92-54	09/14/92
FTA New York Mass Transit Grants: False Statements to FTA Grantee/Grantee Violations of Contracting Policy (600198)	OSI-92-7	09/10/92
Navy Torpedo Program: MK-48 ADCAP Propulsion System Upgrade Not Needed (394447)	NSIAD-92-191	09/10/92
Financial Management: Weak Financial Accounting Controls Leave Commodity Command Assets Vulnerable to Misuse (917223)	AFMD-92-61	09/04/92
Financial Management: Army Conventional Ammunition Production Not Effectively Accounted for or Controlled (917224)	AFMD-92-57	08/31/92
Navy Contracting: Cost Growth Continues on Ship Construction Contracts (394419)	NSIAD-92-218	08/31/92
Air Force Logistics: Need to Improve Management Transfers of On-Order Items Which Can Be Terminated (392639)	NSIAD-92-262	08/28/92
Financial Management: Internal Control Weaknesses Impede Air Force's Budgeting for Repairable Items (903124)	AFMD-92-47	08/26/92
Military Aircraft: C-17 Supplier Management Problems Are Not Related to Budget Reductions (392622)	NSIAD-92-207	08/26/92
Financial Management: Customs Needs to Establish Adequate Accountability and Control Over Its Resources (901535)	AFMD-92-30	08/25/92
Tax Administration: Opportunities to Further Improve IRS' Business Review Process (268518)	GGD-92-125	08/13/92
Financial Audit: Examination of the Army's Financial Statements for Fiscal Year 1991 (917234)	AFMD-92-83	08/07/92
Financial Management: Immediate Actions Needed to Improve Army Financial Operations and Controls (917227)	AFMD-92-82	08/07/92

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Superfund: EPA Cost Estimates Are Not Reliable or Timely (901521) ...	AFMD-92-40	07/01/92
Military Satellite Communications: Milstar Program Issues and Cost-Saving Opportunities (395146)	NSIAD-92-121	06/26/92
Army Force Structure: Need to Determine Changed Threat's Impact on Reserve Training Divisions (393474)	NSIAD-92-182	06/22/92
Federal Employment: How Federal Employees View the Government as a Place to Work (966458)	GGD-92-91	06/18/92
Troop Reductions: Lessons Learned From Army's Approach To Inactivating the 9th Division (391132)	NSIAD-92-78	06/09/92
Defense Relocation Assistance: Service Information Systems Operating, but Not Yet Interactive (391171)	NSIAD-92-186	06/05/92
Child Support Enforcement: Opportunity To Defray Burgeoning Federal and State Non-AFDC Costs (105478)	HRD-92-91	06/05/92
Depository Institutions: Flexible Accounting Rules Lead to Inflated Financial Reports (917346)	AFMD-92-52	06/01/92
Army Maintenance: Savings Possible by Stopping Unnecessary Depot Repairs (393444)	NSIAD-92-176	05/05/92
Poland and Hungary: Economic Transition and U.S. Assistance (472239)	NSIAD-92-102	05/01/92
Resolution Trust Corporation: Oversight of Certain Loan Servicers Needs Improvement (247028)	GGD-92-76	04/24/92
The Changing Workforce: Comparison of Federal and Nonfederal Work/Family Programs and Approaches (966460)	GGD-92-84	04/23/92
Weapons Codevelopment: U.S. National Issues in the MLRS Terminal Guidance Warhead Program (463803)	NSIAD-92-55	04/21/92
Securities Firms: Assessing the Need to Regulate Additional Financial Activities (233288)	GGD-92-70	04/21/92
Department of Education: Management Commitment Needed to Improve Information Resources Management (510640)	IMTEC-92-17	04/20/92
National Security: Perspectives on Worldwide Threats and Implications for U.S. Forces (467369)	NSIAD-92-104	04/16/92
Tax Policy: Effects of Changing the Tax Treatment of Fringe Benefits (268453)	GGD-92-43	04/07/92
Foreign Assistance: A Profile of the Agency for International Development (472286)	NSIAD-92-148	04/03/92
Farmers Home Administration: Billions of Dollars in Farm Loans Are at Risk (150310)	RCED-92-86	04/03/92
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The Changing Workforce: Demographic Issues Facing the Federal Government (966477)	GGD-92-38	03/24/92
Federal Recruiting: Comparison of Applicants Who Accepted or Declined Federal Job Offers (966455)	GGD-92-61BR	03/20/92
Defense Inventory: Control and Security Weaknesses Create Opportunities for Theft (398032)	NSIAD-92-60	03/17/92
Securities Markets: Challenges to Harmonizing International Capital Standards Remain (233284)	GGD-92-41	03/10/92
AID Management: Strategic Management Can Help AID Face Current and Future Challenges (472280)	NSIAD-92-100	03/06/92
Resolution Trust Corporation: Further Actions Needed to Implement Contracting Management Initiatives (247029)	GGD-92-47	03/05/92

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Army's M109 Howitzer: Required Testing Should Be Completed Before Full-Rate Production (393404)	NSIAD-92-44	01/23/92
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Defense Industry: Issues Concerning Five Weapon Systems Provided or Developed by McDonnell Douglas Corporation (393446)	T-NSIAD-92-1	10/03/91
1992 Navy Budget: Potential Reduction in Aircraft Procurement Program (394414)	NSIAD-91-324BR	09/27/91
1992 Navy Budget: Potential Reduction in Shipbuilding and Conversion Program (394418)	NSIAD-91-318BR	09/27/91
1992 Army Budget: Potential Reductions in Helicopter, Heavy Equipment, and Tank Programs (393435)	NSIAD-91-302BR	09/27/91
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Information Resources: HCFA Must Better Justify Further Data Center Expansion (510592)	IMTEC-91-65	09/05/91
Tactical Aircraft: Issues Concerning the Navy's Maritime Patrol Aircraft (394378)	NSIAD-91-229	09/04/91
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Asset Forfeiture: Noncash Property Should Be Consolidated Under the Marshals Service (246011)	GGD-91-97	06/28/91
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Defense Logistics: Observations on Private Sector Efforts to Improve Operations (398016)	NSIAD-91-210	06/13/91
Tax Administration: Better Training Needed for IRS' New Telephone Assistors (268425)	GGD-91-83	06/12/91
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Medicare: Flawed Data Add Millions to Teaching Hospital Payments (510487)	IMTEC-91-31	06/04/91
Stock Market Automation: Exchanges Have Increased Systems' Capacities Since the 1987 Market Crash (510530)	IMTEC-91-37	05/10/91
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Social Security Downsizing: Significant Savings but Some Service Quality and Operational Problems (105121)	HRD-91-63	03/19/91
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Tax Administration: Effectiveness of IRS' Return Preparer Penalty Program Is Questionable (268394)	GGD-91-12	01/07/91

NAPA STUDY OF GAO

Senator REID. It's my understanding that Governmental Affairs has been given by Senator Ford's committee, \$600,000 to conduct a study by the National Academy of Public Administration; is that right?

Mr. BOWSER. That's my understanding. I don't know whether the money has been approved or not.

Senator REID. It has been.

Mr. SOCOLAR. It had been at one point, but we learned a day or two ago that there was some question as to whether it was going to remain available.

Senator REID. I think it is available. I didn't see anything on the floor, but if you hear anything to the contrary, be sure to let us know.

Mr. SOCOLAR. Certainly. As a matter of fact, we have asked our oversight committee to be in touch with your people.

Senator REID. My question is: Is the \$600,000 enough money to do the job right?

Mr. BOWSHER. I'm not sure, Mr. Chairman.

Senator REID. I think before we finish this bill that we need to know that. We may have to supplement it. Rather than do it not right, we should do it and get it over with and do it right.

Mr. BOWSHER. Right.

Senator REID. Let's talk about the National Academy of Public Administration. How are they going to do it?

Mr. BOWSHER. My understanding is that they are going to pick a top team of former Government officials, and they're going to put together a program of how they're planning to do it. They will look, I believe, at all aspects of our operations. That's all I know at this time.

AGENCY COORDINATION OF WORK

Senator REID. We have asked all of those who have been here—and by the way, you are the last of our week-long hearings: OTA, CBO, CRS, and you—and we are asking now what we can do to better coordinate activities between CBO, OTA, CRS, and you?

Mr. BOWSHER. We have worked very hard on that because this committee has had some historical concerns in that area. We work at three levels. The directors—all four of us—get together to try to make sure that we have our organizations understanding that we don't want to do duplicate work. We have another level that reviews all the work. And then we encourage all our people to coordinate with them. Jack Gibbons, when he was head of OTA, would get calls in the morning from a GAO person saying, "We will do such and such. Does this in any way duplicate what you are doing, or should we be coordinating?" So we work very hard to avoid duplication.

The other thing that I have done is I took away the science and technology issue area because I was worried that we might be duplicating efforts.

Senator REID. What do you mean, took it away?

Mr. BOWSHER. Gave it up. There was a recent Carnegie Commission report that said GAO should get back into science and technology because of the uniqueness of what OTA did versus what we did. But I don't want any duplication. That's very important.

RELATIVITY TO INSPECTORS GENERAL

Senator REID. What about, General, the inspectors general that the executive Department has? How do we work that out?

Mr. BOWSHER. Again, we work very hard to stay close to the inspectors general to make sure that their work is different from our work.

We are overwhelmed with requests from the various committees, so if it's unique to one organization, Transportation, HUD, Defense,

or State, we say, "Why don't you give it to the inspectors general?" In other words, the inspectors general could do that job.

In a certain percentage of the situations, the committee chairmen will accept that. But in some cases, they insist that GAO do the work.

But again, we work very closely with the inspectors general. We share our annual work plans with them, and they share theirs with us. We try to avoid duplication. Now sometimes, if you get a hot program like the B-2, the committees will want the GAO to do certain work on the B-2 program, and the inspector general, of course, is probably doing work on the B-2. So there are some big-ticket items where we do work in the same area, or there is some duplicate work, but we try not to have much.

If there is a straight investigation where something is wrong in a division, we try to move all those investigations over to the inspector general.

NSIAD REORGANIZATION

Senator REID. Senator Inouye's Subcommittee on Defense, part of the Appropriations Committee, is concerned about the shift to, for lack of a better word, grand policy analysis that GAO is doing that is implied in this memo here.

Mr. BOWSHER. This is the reorganization memorandum?

Senator REID. Yes.

Mr. BOWSHER. I want to assure them that we are going to do the budget scrub work and the work that he needs done.

Senator REID. The objection by most of the people in the subcommittee is that they need auditors and, as you indicated, the budget scrubbers.

Mr. BOWSHER. The reason we have gone to this reorganization is we don't think we should be reviewing Defense like we did for 40 years when there was the big cold war—so a lot is changing. We want to make sure that we are up to date in looking at some of these new areas, for example, Defense is getting itself into more Third World initiatives and does it have the reactive capability to move troops out to a place like Somalia or Bosnia.

So we want to be able to review that, and I think Senator Nunn and Senator Warner and some on the Armed Services Committee have encouraged us to rethink some in this area.

But I want to assure you about the work for the Appropriations Committee, we will do that.

FUNCTION OF THINK TANKS

Senator REID. I often wonder what function these think tanks serve, like the Rand Corp., which is supposedly a nonpartisan organization. What function do they serve?

Mr. BOWSHER. They serve the function of taking on issues where the military departments think that there is a need for a study. I think they will take on issues that generally look quite a few years out. In other words, how many bombers does the Air Force need because it is reconstructing its squadrons to get away from the SAC, TAC, and all that.

Think tanks are also trying to move into areas like health care. They asked our health care people to come out and meet with

them. Charlie Schultze, who had been the Budget Director under Johnson, is a senior fellow-economic affairs at Brookings, and he's aware of our work. And we do that from time to time.

PAY-FOR-PERFORMANCE SYSTEM

Senator REID. We discussed the pay-for-performance system over the last several years, and it's clear from your responses that the pay for performance is more expensive for staff here than the conventional Civil Service System. Explain to me why, with all the budget pressures we face, that maybe we should reconsider this pay-for-performance system.

Mr. BOWSHER. We are planning, by the way, Mr. Chairman, to consider just what you're suggesting as part of our review process under TQM. It was before we went into the TQM process, so we have to see if it fits, and I can tell you that we believe there will be modifications to it.

What we did see—and I'm going to turn to Joan Dodaro here in a minute—is that we had some of our most productive and able people making less money than some of our less capable and productive people under the old system—the old traditional Government pay system where everybody got their ingrade, no matter what they did or accomplished during the year.

So I think that moving from that to a new system has had a great benefit to GAO in the last few years. But as I said earlier, as we are going more into the TQM process, I'm not sure the new pay system fits. And, as you were pointing out, with the budget constraints that we have, this system will be another thing we will have to take a look at.

FAR EAST OFFICE

Senator REID. My wife said, "What are you going to do when you retire?" I think I finally found it. How about your Honolulu office? [Laughter.]

Mr. BOWSHER. Right. The history of the Honolulu office is that the United States Government spends an awful lot of money overseas, so we have one office in Frankfurt, Germany, and we have one office in the Pacific, and it's been all over in the Pacific. It was in Tokyo at one time, in Saigon, in Bangkok. My predecessor brought it back to Hawaii.

Senator REID. That was a smart man.

Mr. BOWSHER. It's a small office, and we are bringing it down as far as size goes. We have 28 staff.

QUALITY MANAGEMENT AND PFP

Ms. DODARO. I think the real issue at GAO today is whether pay for performance is compatible with the quality management approach. Our staff certainly has been pointing out some inconsistencies between the two.

We are not alone in struggling with that. As you know, most pay systems in the world, not only in the Government, are very individually focused, whereas quality management looks for a team approach.

We surveyed 35 private-sector companies, which are implementing quality management. These companies are struggling with the same thing we are: How do you combine the individually focused compensation systems with the more team-focused quality management system?

Senator REID. That's the next question that I wanted to ask. You have been doing surveys of employees as well as managers?

Ms. DODARO. Yes.

Senator REID. What are they saying?

Ms. DODARO. Right now we are at the end of the survey period. The survey has some very specific questions about the pay-for-performance system.

Senator REID. How long will it take you to do that?

Ms. DODARO. We will be getting the information from the contractor in another week or two.

Senator REID. Why don't we leave a space in the record and fill that in.

[The information follows:]

ATTACHMENT 1.—GAO EMPLOYEE ATTITUDE SURVEY RESULTS (1989–1993)

Shown below are results for all staff who responded to the GAO Employee Attitude Survey administered in May–July 1989, December 1990–March 1991, January–April 1992, and November 1992–February 1993. The notation "NA" indicates the question was not asked on that survey. The column labeled "Change 1992–93" shows the difference from the 1992 to the 1993 survey in the two most positive (three for questions with a 7-point scale) responses to each question. Thus, a plus number in the "Change 1992–93" column means staff were more positive on that question in 1993 than 1992, and a minus number the opposite. A change of ± 2 percentage points or more is considered significant. Percentages may not add to 100 percent due to rounding.

1. In general, how satisfied or dissatisfied are you with each of the following conditions of your work life?

Year	Very satisfied	Generally satisfied	As satisfied as dissatisfied	Generally dissatisfied	Very dissatisfied	Change 1992–93
The people you work with on a daily basis:						
1989	27	57	11	4	1
1990	27	56	12	4	1
1992	27	56	13	4	1
1993	27	54	15	4	1	– 2
Your immediate supervisor:						
1989	29	44	14	9	5
1990	29	40	17	10	5
1992	31	39	17	9	5
1993	30	40	16	10	5
Your unit managers:						
1989	NA	NA	NA	NA	NA
1990	14	40	25	15	7
1992	13	40	27	14	6
1993	13	38	26	16	7	– 2
Your job duties and responsibilities:						
1989	20	52	17	9	2
1990	19	49	20	9	2
1992	18	50	20	9	2
1993	19	48	21	9	2	– 1

Year	Very satisfied	Generally satisfied	As satisfied as dissatisfied	Generally dissatisfied	Very dissatisfied	Change 1992-93
GAO, compared to your perceptions of working in other organizations:						
1989	19	45	24	10	3
1990	18	41	26	11	4
1992	20	43	25	10	2
1993	19	42	26	10	3	- 2
Your pay, considering your skills and work effort:						
1989	6	36	24	25	8
1990	8	37	26	21	8
1992	11	43	23	17	5
1993	13	42	24	16	6	+ 1
The progress you have made in GAO up to now:						
1989	13	37	22	20	9
1990	13	37	23	19	8
1992	15	37	23	18	8
1993	15	35	24	18	8	- 2
Your chances of getting promoted in GAO:						
1989	5	21	23	28	23
1990	6	20	23	25	26
1992	5	20	25	25	24
1993	5	17	24	28	26	- 3
Your chances of earning pay increases and/or bonuses based on performance/contributions:						
1989	6	25	33	22	15
1990	8	25	26	23	19
1992	8	28	29	20	15
1993	9	28	26	21	16	+ 1

2. Overall, how satisfied or dissatisfied are you with your job at GAO?

Year	Very satisfied	Generally satisfied	As satisfied as dissatisfied	Generally dissatisfied	Very dissatisfied	Change 1992-93
1989	12	51	21	13	3
1990	11	46	24	14	4
1992	13	47	25	12	3
1993	13	47	25	12	3

3. To what extent, if any, do each of the following conditions of your work situations encourage you to work hard, or discourage you from working hard?

Year	Strongly encouraged	Encourage more than discourage	Encourage as much as discourage	Discourage more than encourage	Strongly discourage	Change 1992-93
The people you work with (your peers/colleagues):						
1989	21	46	28	5	1
1990	23	44	27	5	1
1992	22	45	26	6	1

Year	Strongly encouraged	Encourage more than discourage	Encourage as much as discourage	Discourage more than encourage	Strongly discourage	Change 1992-93
1993	22	44	26	7	1	- 1
Your immediate supervisor:						
1989	26	40	21	10	3
1990	26	38	23	9	4
1992	27	38	22	10	4
1993	27	37	22	10	4	- 1
Your unit manager:						
1989	17	37	28	14	5
1990	14	35	29	15	7
1992	13	35	32	14	6
1993	13	32	33	16	7	- 3
Policies or procedures for doing your job:						
1989	4	22	43	25	6
1990	3	21	42	27	7
1992	4	21	43	27	6
1993	4	21	42	26	8
Personnel policies and procedures:						
1989	3	17	50	22	8
1990	2	19	47	24	9
1992	3	20	46	22	9
1993	4	20	46	22	9	+ 1
The physical work environment:						
1989	7	30	33	22	8
1990	8	28	32	21	12
1992	10	33	31	18	8
1993	13	37	29	14	6	+ 7
The subject matter of your work, or the type of work you do:						
1989	33	45	16	5	1
1990	34	44	16	5	1
1992	34	44	16	4	1
1993	33	45	17	5	1
Your salary:						
1989	5	32	42	16	6
1990	6	35	40	14	5
1992	8	40	39	10	3
1993	9	40	38	9	4	+ 1
Your benefits (health, leave, retirement, etc.):						
1989	5	32	42	16	6
1990	8	40	43	7	2
1992	13	44	38	4	1
1993	14	46	36	3	1	+ 3
PFP merit increases and/or bonuses:						
1989	6	26	36	20	12
1990	5	19	34	21	21
1992	5	22	37	21	15
1993	6	23	36	19	16	+ 2
(1992 merit increases)	5	22	38	20	15
(1993 merit increases)	4	23	38	19	16

Year	Strongly encouraged	Encourage more than discourage	Encourage as much as discourage	Discourage more than encourage	Strongly discourage	Change 1992-93
Quality of computer and support equipment:						
1989	11	32	35	15	7
1990	6	32	33	19	10
1992	9	35	32	17	7
1993	11	39	31	13	6	+ 6
Availability of computer and support equipment:						
1989	11	32	35	15	7
1990	7	28	30	23	12
1992	11	31	31	18	9
1993	13	39	29	14	6	+ 10
Your duties/job responsibilities:						
1989	21	46	22	10	2
1990	21	45	23	9	2
1992	22	45	23	8	2
1993	23	46	21	8	2	+ 2
Personal pride (1992/93 only):						
1992	67	27	4	1	1
1993	66	27	4	1	1	- 1

4. During the next year or so, how likely are you stay with or leave GAO?

Year	Very likely to stay	More likely to stay than leave	As likely to leave or stay	More likely to leave than stay	Very likely to leave	Change 1992-93
1989	38	27	21	8	6
1990	42	27	19	8	5
1992	48	25	17	5	4
1993	49	25	16	6	4	+ 1

5. How important to you, if at all, are each of the following characteristics in choosing a job/employer?

Year	Very great importance	Great importance	Moderate importance	Some importance	Little/no importance	Change 1992-93
Job stability:						
1989	25	42	23	9	1
1990	30	42	20	7	1
1992	42	41	14	2
1993	46	40	12	2	1	+ 3
Opportunity to learn:						
1989	40	47	10	3	1
1990	43	46	9	2	1
1992	49	43	7	1
1993	50	42	7	1
Freedom to work on your own:						
1989	37	46	14	2	1
1990	40	46	12	2	1
1992	44	44	10	1
1993	45	43	10	1	1
Opportunity to use your abilities:						
1989	53	42	4	1
1990	57	39	3	1

Year	Very great importance	Great importance	Moderate importance	Some importance	Little/no importance	Change 1992-93
1992	59	38	2
1993	59	38	3
Variety of activities:						
1989	37	45	15	2	1
1990	39	45	14	2	1
1992	43	44	12	1
1993	43	44	12	1	- 1
Promotion opportunities:						
1989	39	40	18	3	1
1990	37	41	19	3	1
1992	37	41	19	3	1
1993	38	39	19	3	1	- 1
Challenging/interesting work:						
1989	59	37	4	1	1
1990	61	35	3	1	1
1992	63	34	3
1993	62	34	3	- 1
Competent coworkers:						
1989	29	51	17	2	1
1990	31	52	15	2	1
1992	32	53	14	2
1993	33	51	14	1	1	- 1
Competent managers:						
1989	NA	NA	NA	NA	NA
1990	40	45	12	2	1
1992	39	47	12	2
1993	38	46	13	2	1	- 2
Opportunity to show supervisor you can perform effectively:						
1989	30	43	20	5	2
1990	35	44	16	4	2
1992	37	43	16	3	1
1993	37	43	16	4	2
Working to improve government operations:						
1989	22	33	28	10	8
1990	29	40	22	6	3
1992	29	42	23	4	2
1993	32	40	22	5	2	+ 1
Retirement benefits:						
1989	18	32	34	13	3
1990	17	35	34	12	3
1992	25	43	26	5	1
1993	31	42	23	4	1	+ 5
Health benefits:						
1989	19	34	32	11	4
1990	19	38	31	10	3
1992	28	44	23	4	2
1993	34	41	20	4	1	+ 3
Annual/sick leave:						
1989	20	36	33	10	2
1990	20	39	32	9	1
1992	26	45	25	4
1993	32	40	24	3	+ 1
Flexible work schedules:						
1989	NA	NA	NA	NA	NA
1990	26	31	27	10	7
1992	30	34	24	7	5

Year	Very great importance	Great importance	Moderate importance	Some importance	Little/no importance	Change 1992-93
1993	33	32	23	8	5	+ 1
Wellness programs/fitness center:						
1989	NA	NA	NA	NA	NA
1990	6	13	27	23	32
1992	7	14	28	21	30
1993	8	15	27	19	31	+ 2
Agency supported day care:						
1989	NA	NA	NA	NA	NA
1990	5	6	14	14	62
1992	5	8	15	12	60
1993	5	8	15	13	59
Job location:						
1989	22	37	30	9	2
1990	17	31	32	15	5
1992	19	36	31	11	5
1993	21	33	30	11	5	- 1
Reputation of employing agency:						
1989	23	42	25	7	3
1990	23	42	25	8	3
1992	24	44	24	6	2
1993	25	43	24	6	2
Formal training programs:						
1989	11	27	36	18	8
1990	10	30	35	17	8
1992	13	31	34	16	7
1993	13	29	33	16	9	- 2
Little or no travel required:						
1989	NA	NA	NA	NA	NA
1990	6	10	27	20	39
1992	6	11	28	18	37
1993	6	11	27	18	38
Having the opportunity to travel:						
1989	7	17	40	18	18
1990	7	16	39	18	20
1992	6	18	41	17	19
1993	7	18	39	18	19	+ 1
Compatible coworkers:						
1989	19	43	28	8	2
1990	22	48	24	5	1
1992	24	51	21	4	1
1993	26	49	21	4	1
Chance to earn performance based pay increases and/or bonuses:						
1989	25	36	25	9	5
1990	17	27	28	13	15
1992	17	30	29	11	13
1993	18	27	30	12	14	- 2
Quality office space:						
1989	15	33	36	12	4
1990	16	35	36	10	3
1992	17	37	34	10	2
1993	17	36	34	10	2	- 1

Year	Very great importance	Great importance	Moderate importance	Some importance	Little/no importance	Change 1992-93
Access to quality computer equipment:						
1989	21	37	27	11	4
1990	25	40	26	8	2
1992	27	42	23	6	2
1993	24	42	25	7	2	- 3
Salary:						
1989	29	46	22	3	1
1990	NA	NA	NA	NA	NA
1992	26	49	23	2
1993	29	47	22	2	+ 1

6. How much, if at all, do members of your work group help you in (encourage, share information, etc.), or hinder you from (discourage, withhold information, etc.) giving your best effort?

Year	Greatly help	Generally help	Help more than hinder	Help as much as hinder	Hinder more than help	Generally hinder	Greatly hinder	Change 1992-93
1989	18	41	18	15	6	2	1
1990	16	40	17	17	7	2	1
1992	17	40	18	16	5	2	1
1993	18	38	18	18	6	2	1	- 1

7. Is the level of competition and of teamwork in your work group too high, too low, or about right to stimulate you to perform well?

Year	Much too high	Somewhat too high	About right	Somewhat too low	Much too low	Change 1992-93
Level of competition:						
1989	8	18	65	7	3
1990	13	24	56	5	2
1992	12	23	59	4	2
1993	12	25	56	5	2	¹ - 3
Level of teamwork:						
1989	1	2	64	21	12
1990	1	53	27	18
1992	2	54	27	18
1993	2	52	28	18	¹ - 2

¹ Difference shown is for "About right" response.

8. How much, if at all, do you trust or distrust the people in each of the following categories? By this we mean the trust you put in them to maintain a fair and honest, "true to the word" working relationship?

Year	Strongly trust	Generally trust	Trust more than distrust	Trust as much as distrust	Distrust more than trust	Generally distrust	Strongly distrust	Change 1992-93
Members of work group:								
1989	17	45	18	13	5	2	1
1990	19	44	17	12	5	3	1
1992	17	47	17	12	4	2	1
1993	18	44	18	13	5	2	1	-1
Your current supervisor:								
1989	24	34	15	11	8	4	4
1990	24	33	15	11	7	6	4
1992	25	34	15	11	7	3	4
1993	25	33	15	12	8	3	4	-1
Your Assistant Director:								
1989	NA	NA	NA	NA	NA	NA	NA
1990	16	29	17	18	8	8	6
1992	15	31	17	17	10	5	6
1993	15	30	17	17	10	6	6	-1
Unit management above your supervisor (Unit Head):								
1989	5	19	17	19	17	11	10
1990	7	23	17	18	13	13	10
1992	10	22	16	24	13	8	8
1993	8	22	16	23	14	9	8	-2
GAO management above the unit:								
1989	NA	NA	NA	NA	NA	NA	NA
1990	2	16	17	25	14	15	11
1992	3	17	18	29	16	9	8
1993	2	15	16	30	17	11	9	-5
Issue Area Director (1992/93 only):								
1992	12	26	19	23	10	5	5
1993	10	26	18	23	12	6	6	-3

9. Since June 1989, (in 1991) how fairly or unfairly do you believe you have been treated in regard to each of the following reward or developmental opportunities?

Year	Very fairly	Generally fairly	Somewhat more fairly than unfairly	As fairly as unfairly	Somewhat more unfairly than fairly	Generally unfairly	Very unfairly	Change 1992-93
Certification to BQ list for promotion:								
1989	19	22	8	18	14	9	10
1990	23	19	6	16	11	11	14
1992	22	21	5	17	12	10	13
1993	21	21	7	16	11	11	14	+1
Promotions/certification to full performance:								
1989	17	22	9	15	15	11	12
1990	22	21	7	16	11	10	13
1992	23	22	6	16	11	10	12
1993	19	20	7	15	12	12	16	-5
Awards:								
1989	12	20	12	19	17	11	9
1990	15	19	6	23	15	11	12
1992	15	21	7	25	12	10	11
1993	16	19	6	24	13	10	12	-2
PFP Bonuses (and APSS in 1992):								
1989	NA	NA	NA	NA	NA	NA	NA
1990	15	17	7	14	16	13	19
1992	17	21	7	19	14	10	13
1993	18	20	7	18	13	10	14
PFP merit increases:								
1989	NA	NA	NA	NA	NA	NA	NA
1990	16	18	7	19	13	13	14
1992	15	22	8	22	13	10	11
1993	15	21	8	22	12	10	12	-1
Developmental pay increases from progress reviews:								
1989	NA	NA	NA	NA	NA	NA	NA
1990	23	25	6	19	8	8	11
1992	23	27	9	19	9	4	9
1993	21	24	8	21	8	7	11	-6

Opportunities for training:

1989	20	35	12	24	5	2	1
1990	27	38	9	20	4	2	1
1992	27	36	10	20	4	2	1
1993	26	33	10	23	5	2	2

Getting more challenging work assignments:

1989	19	34	12	20	8	4	3
1990	21	34	12	19	7	4	4
1992	22	33	13	19	6	3	3
1993	22	32	12	20	7	4	4

Getting leadership roles:

1989	20	31	10	21	8	5	5
1990	21	30	10	19	9	6	5
1992	22	28	12	20	8	5	6
1993	20	28	12	21	8	5	6

Getting highly visible or desirable assignments:

1989	17	26	13	23	10	6	6
1990	19	25	10	23	9	7	7
1992	18	26	11	24	9	5	7
1993	18	26	11	23	9	6	7

10. Since June 1989, please indicate to what extent, if at all, you believe outstanding performance on job assignment(s) has led or will lead to the following outcomes.

Year	Very great extent	Great extent	Moderate extent	Some extent	Little/no extent	Change 1992-93
Special awards/formal recognition:						
1989	8	20	27	31	13
1990	9	16	25	28	23
1992	11	21	24	20	24
1993	9	21	26	21	23	- 2
Greater chances for promotion:						
1989	8	20	27	28	17
1990	7	14	23	24	31
1992	7	16	23	18	35
1993	7	16	21	21	36
Additional authority/responsibility:						
1989	10	28	28	24	10
1990	10	22	26	23	19
1992	10	25	26	20	20
1993	9	23	26	21	21	- 3
Informal recognition by your supervisor:						
1989	15	34	24	18	9
1990	17	29	23	18	13
1992	17	32	24	14	14	+ 3
1993	NA	NA	NA	NA	NA
PFP bonuses:						
1989	7	16	29	29	19
1990	9	16	24	24	27
1992	9	20	25	20	26
1993	9	20	24	21	25
PFP merit increases:						
1989	7	16	29	29	19
1990	9	16	25	25	25
1992	8	20	25	22	25
1993	7	20	25	23	25	- 1
Larger developmental level salary increases:						
1989	NA	NA	NA	NA	NA
1990	14	22	24	19	20
1992	13	25	23	16	24
1993	11	26	22	17	24	- 1
Faster certification to full performance:						
1989	NA	NA	NA	NA	NA
1990	15	23	22	19	21
1992	14	26	22	17	21
1993	12	26	22	18	22	- 2

11. How adequately or inadequately did your most recent supervisor perform each of the following performance management tasks?

Year	More than adequate	Adequate	Marginally adequate	Inadequate	Very inadequate	Change 1992-93
Establish realistic performance expectations with you for your roles responsibilities:						
1989	17	45	16	9	13
1990	22	48	16	7	7
1992	24	48	15	7	7
1993	24	46	16	7	7	- 2

Year	More than adequate	Adequate	Marginally adequate	Inad- equate	Very inad- equate	Change 1992-93
Assign you jobs/tasks with devel- opmental opportunities:						
1989	23	42	17	8	9
1990	27	46	16	6	7
1992	27	44	16	7	6
1993	26	43	18	7	6	- 2
Review your performance at appro- priate times during the year:						
1989	13	37	22	13	16
1990	17	42	21	12	10
1992	18	44	20	10	8
1993	20	42	20	11	7
Explain to you the criteria used in judging your performance:						
1989	11	34	23	14	19
1990	15	37	23	12	12
1992	16	40	21	12	10
1993	18	38	22	11	10
Give you honest, helpful, constructive feedback on your performance:						
1989	16	34	23	11	15
1990	20	35	22	11	12
1992	21	37	21	10	11
1993	22	36	21	10	11

12. In the last three assessment years, (1989-91), to what extent, if at all, do you feel that your performance and contributions (1) met your established expectations; (2) were accurately captured in rating(s) from your supervisor(s); and (3) were accurately assessed for PFP (APSS) bonuses and merit increases?

Year	Very great extent	Great extent	Moderate extent	Some extent	Little/no extent	Change 1992-93
Performance matched established ex- pectations for your role:						
1989	39	40	12	6	2
1990	33	42	14	7	3
1992	33	46	13	5	3
1993	33	46	13	5	4
Performance was accurately captured in rating(s) from your supervisor:						
1989	22	34	23	15	7
1990	18	34	22	16	10
1992	18	37	22	14	9
1993	22	37	20	12	9	+ 4
Contributions were accurately evalu- ated by the MRG:						
1989	12	19	24	20	25
1990	11	18	20	22	29
1992	12	24	21	18	25
1993	16	24	20	16	25	+ 4

13. Overall, to what extent, if any, do you believe the best performers/contributors in your unit were rewarded with PFP bonuses?

Year	Very great extent	Great extent	Moderate extent	Some extent	Little/no extent	Change 1992-93
1989	NA	NA	NA	NA	NA
1990	5	20	31	30	14
1992	5	24	32	27	12
1993	7	22	28	25	19

14. To what extent, if at all, would you favor or disfavor setting aside a portion of PFP bonus funds to be used for team awards? Keep in mind that the funding level for bonuses would not necessarily increase to accommodate team awards.

Year	Favor much more than disfavor	Favor somewhat more than disfavor	Undecided	Disfavor somewhat more than favor	Disfavor much more than favor
1990	27	26	21	9	17

15. What portion of the fixed PFP bonus pool should be set aside for team awards? (Asked in 1990 only)

Much less than one-fourth	8
About one-fourth	25
About half	29
About three-fourths	12
All or nearly all (more than 90 percent)	25

16. Since June 1989, in what way, if any, have your roles and responsibilities changed in terms of their degree of challenge, responsibility, or substantiveness? (Asked in 1990 and 1993 only)

	1990	1993
Much more challenging	18	11
Somewhat more challenging	21	15
Roles have not changed much	47	58
Somewhat less challenging	8	8
Much less challenging	6	8

17. What proportion of eligible staff do you think should be awarded PFP bonuses? Keep in mind that because the GAO-wide bonus pool is fixed, the smaller the proportion of staff who get bonuses, the larger the individual PFP bonuses will be. (Asked in 1990 only)

Up to 10 percent	11
11 percent to 20 percent	18
21 percent to 30 percent	21
31 percent to 40 percent	7
41 percent to 50 percent	43

18. To what extent, if at all, are each of the following employee considerations present at GAO?

Year	Very great extent	Great extent	Moderate extent	Some extent	Little/no extent	Change 1992-93
Real management interest in the well-being of those who work here:						
1989	4	17	28	29	22
1990	4	16	27	27	26
1992	6	19	30	23	22

Year	Very great extent	Great extent	Moderate extent	Some extent	Little/no extent	Change 1992-93
1993	6	21	33	24	16	+ 2
Management commitment to improving the physical working environment:						
1989	4	19	32	29	16
1990	10	26	26	24	15
1992	12	32	28	19	9
1993	10	32	30	19	9	- 2
Management efforts to provide added amenities or benefits to staff (fitness center, flexitime, day care facilities, etc.):						
1989	NA	NA	NA	NA	NA
1990	12	32	28	20	8
1992	11	35	30	18	7
1993	11	35	31	17	7
Supervisors and managers who are receptive to staff ideas and suggestions on how to improve products/operations:						
1989	3	20	36	27	14
1990	5	22	35	25	14
1992	7	24	33	23	13
1993	7	24	32	21	16
Management willingness to listen to and consider the views of individuals and interest groups in formulating policy or programs:						
1989	NA	NA	NA	NA	NA
1990	4	17	29	26	24
1992	7	19	29	26	20
1993	6	20	29	24	20
An environment in which staff feel valued:						
1989	NA	NA	NA	NA	NA
1990	3	12	27	28	31
1992	6	15	29	25	25
1993	7	16	28	25	25	+ 2

FROM THE 1993 SURVEY ONLY

16. Overall, what impact, if any, has the PFP/APSS programs had on each of the following?

	Very positive	Positive	Neither positive nor negative	Negative	Very negative
Your morale	4	18	34	27	16
Your trust of unit management	2	11	38	28	20
Communication with your supervisor ...	4	16	60	13	7
Your motivation	5	18	49	17	11
Teamwork in your group	2	10	48	27	13
Cooperation with others in your unit ...	3	10	53	24	12

17. How much do you like or dislike each of the following features of the PFP/APSS programs?

	Like very much	Like	Neither like nor dislike	Dislike	Dislike very much
Annual performance-based salary increases	14	34	22	15	15
Annual performance-based bonuses	13	30	20	19	18
Percentage restrictions (such as two-thirds bonus limit and 10 percent acceptable)	2	9	30	28	32
The level at which pay/bonus decisions are made	6	24	38	15	18
Pay protection provisions	25	42	25	4	4
Feedback from pay/bonus assessment panel	4	17	37	17	25
Opportunity to describe your contributions to the panel	8	24	33	16	19

18. Would you like the current PFP system to be continued?

Definitely yes	8
Probably yes	17
Not sure/no opinion	16
Probably no	25
Definitely no	34
Another preference specified	

19. Would you like the current APSS bonus system to be continued?

Definitely yes	20
Probably yes	31
Not sure/no opinion	22
Probably no	13
Definitely no	15
Another preference specified	

WHO RESPONDED TO THE SURVEY

Shown below are the percentages of different staff types that answered each year (e.g., 27 percent of the 1989 respondents were staff members). Percentages may not add to 100 percent due to rounding.

Respondent role	1989	1990	1992	1993
Staff member	27	25	22	21
Site senior	11	9	9	7
EIC	22	24	23	24
RAM/RMR	5	4	4	3
Evaluator-related specialists	4	5	4	4
Audit/assignment manager	6	6	5	5
Assistant Director	7	8	8	8
Assistant Regional Manager	1	1	1	1
Staff/front office	2	5	5	6
Attorney	3	3	3	2
Secretary/clerical			4	6
All other	13	10	12	10

1989 Surveys Received: 3,423 (82 percent response rate).

1990 Surveys Received: 3,256 (77 percent response rate).

1992 Surveys Received: 3,372 (74 percent response rate).

1993 Surveys Received: 3,565 (70 percent response rate).

PFP EXPERIENCE

Ms. DODARO. Certainly. The survey is a very broad-based attitude survey, but this year for the first time, we asked some very

specific questions about pay for performance because we are re-evaluating it.

Senator REID. I think that, as we have learned over the years in talking to you, that this is worth a shot. It may be a good program. It might spill over into other areas of Government.

Mr. BOWSHER. Exactly. I think our experience in pay for performance is very good evidence for other people to look at.

Senator REID. But it may not be compatible?

Mr. BOWSHER. Correct. It might be interesting for everybody to look at. In other words, if you do move to the TQM approach, then how do you modify that?

Senator REID. That stands for what?

Mr. BOWSHER. Pay for performance.

Senator REID. That's what I was talking about.

Mr. BOWSHER. We are an organization that's manageable with 5,000 people. We could try some of these things and see how well they work or don't work and then decide where we have to modify.

Senator REID. More importantly, if the General Accounting Office stands for what's good in Government, then I think it would be really a feather in GAO's cap if you came up with a program for managing large numbers of people or small numbers of people, that would revolutionize the way we conduct Government. I will like to see if it will work.

Mr. BOWSHER. I will be testifying on March 11 before Senator Glenn and Senator Roth of the Senate Governmental Affairs Committee on improving Government. I think our personal experience here gives us a lot of insight, and in 2 or 3 years down the road it will give us even more insight.

REGIONAL OFFICE CLOSURES

Senator REID. Back to the regional offices. When we are talking about Government efficiency, I can't believe that we need an office in Philadelphia and one in Boston. Do we need one in Norfolk? I think that these are questions that we have to ask.

It would be my suggestion that you look very closely at these offices. These are luxuries that we can't afford.

Mr. BOWSHER. I think we have closed 10 or 12 offices already in my tenure.

Senator REID. Where were some of these places?

Mr. HOWARD. These were some of the suboffices: Minneapolis-St. Paul; New Orleans; Cocoa Beach; Harrisburg; Cleveland; Pittsburgh; Ogden, UT; Bangkok, Thailand and Panama City, Panama.

Senator REID. I would be happy that this subcommittee be the bad guy in all this.

I think you have to explain to the Congressmen and the Senators that it's their personnel staff.

Mr. BOWSHER. I think you're right—periodically you have to look at where everybody is in your organization.

ADDITIONAL COMMITTEE QUESTIONS

Senator REID. That's about all I have today.

Mr. BOWSHER. I want to assure you, Mr. Chairman, that we want to work with the committee in downsizing GAO in an efficient manner.

Senator REID. Thank you all very much.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

GENERAL BUDGET

COMMITTEE FUNDING RESOLUTION

Question. General Bowsher, this is a question that I have asked of all the agencies that have appeared before the Subcommittee. It is perhaps of greater significance to your organization, though, since you have requested a 14 percent increase for fiscal year 1994 over your current funding. As you may be aware, the committee funding resolution adopted by the Senate reduces funding for committees in the Senate on a net basis by 6.4 percent below the currently enacted levels.

If the same formula was applied to the GAO, what actions would need to be taken to achieve such a reduction?

Answer. In order to meet a 6.4 percent reduction, we would be required to delay the schedule for asbestos removal at our headquarters building. This delay would require agency staff to work for a longer period of time in an asbestos contaminated building. The delay would also result in potentially significant project cost increases as well as delaying the realization of \$12 million in savings annually that would accrue once this project is complete, by reason of being able to house all of our Washington staff in our own building.

In addition, we would have to continue the present hiring freeze, now in its second year. The hiring freeze is preventing GAO from filling key vacancies in many functional areas. Individual staff members who are specialists in certain areas cannot easily be replaced by reassigning other staff. If the hiring freeze has to be continued, providing the kind of audit coverage necessary to support the Congress is going to become more and more difficult.

Even though continuation of the hiring freeze will have a negative effect on the agency, it pales in comparison to the negative impacts on morale and productivity that a furlough or reduction-in-force would have. Using one or both of these alternatives would be necessary to absorb a reduction of this magnitude.

CONTRACT STUDY OF GAO

Question. General Bowsher, as you know, last year the Senate proposed and provided funding for a contract study of the GAO. It was our intent that this audit/study would examine issues such as the clarity of the mission of the GAO, administrative and financial management, organizational structure, policies governing the selection and number of matters for audit, the effectiveness of GAO's use of its resources, the quality of GAO work products and how it should be measured and assured, and the competency and qualification of GAO staff for the work to which they are assigned.

During the conference committee this item was deleted from the bill. I must say that I still believe that such a study/audit is necessary. I understand that the Senate Governmental Affairs Committee is planning oversight hearings of GAO and has also requested funding to have a study done of GAO by the National Academy of Public Administration.

Could you please fill us in on the status of the review and what you expect NAPA to cover in their study?

Answer. The Senate Committee on Governmental Affairs has advised us, in connection with oversight hearings it will soon be holding, that there definitely will be a study by NAPA of GAO and our role in serving the Congress. The committee and NAPA are in the process of negotiating coverage of the study. We are not privy at this time to the scope of the study, but we do understand it will be comprehensive.

Question. Would you support language requiring a more comprehensive audit, if the Subcommittee determines that the NAPA effort is less thorough than we believe necessary?

Answer. We have consistently expressed our willingness to cooperate fully with any external reviews of GAO's operations that were considered necessary or beneficial by our appropriations or oversight committees. If there are areas beyond those to be covered by the proposed NAPA review that the Subcommittee wishes to have reviewed, you can count on our full cooperation.

DUPLICATION OF EFFORT

Question. I have asked all the support agencies of the Congress about the duplication of work products dealing with the same issue areas. I understand there is coordination between OTA, CBO, CRS and GAO. However, there are several functional areas that seem ripe for a clearer division of labor among the agencies.

Do you think that a task force of representatives from each agency could come up with a more rational system for allocating responsibilities for work on specific areas?

Answer. We do not believe there is much opportunity for efficiency gains here. Our staffs already work closely together to avoid duplicative work. For example, we require our project leaders to routinely contact other agency staff prior to starting an assignment. We circulate copies of the Research Notification System showing all ongoing work within the four agencies, and have periodic meetings of an Inter-agency Coordinating Committee and many other cross agency subject area groups to discuss potential duplication and to otherwise exchange agency information to help us perform our missions.

It is also important to note the very different roles the agencies play. Unlike our sister agencies, a major focus of GAO's work is on providing Congress and the public independent assurance that there are adequate financial and management controls over the operations of government agencies and programs, and that information they provide Congress on their activities is accurate and reliable. While we may occasionally (and sometimes at the explicit direction of Congress) work on similar topics, this does not mean that the work is inefficiently duplicative. For example, CRS might be asked to review existing literature on a topic; GAO is asked to do original data collection at the local level; and CBO is asked to develop budget options or cost out legislation on the same program. Our staffs work closely together in these instances, and the greater the perceived potential for duplication, the more we do to see that it is avoided.

TRANSFER OF FUNCTIONS

Question. General Bowsher, the other day when the Public Printer was before us, I asked him why it would not be a good idea to make GPO an Executive Branch agency. I would not propose the same for GAO. However, I'm sure that there are some functions that GAO performs that could or should be performed by the Executive Branch.

Have you considered this? If so, what functions do you think could or should be transferred? What are the staff and costs associated with each function?

Answer. We are in the process of reviewing our operations to determine what functions, if any, could or should be transferred to the executive branch.

Question. What about the relationship between audit functions and the Departmental Inspectors General (IG)?

Answer. As I indicated in our discussion of this issue at the hearing, we work very closely with the IG's. We share our annual work plans with them, and they share theirs with us. We try to avoid duplication.

We are overwhelmed with requests from various committees. If a request is unique to a particular agency such as a straight investigation of something that is wrong within a division, we try to refer the work to that agency's IG. However, sometimes the committee insists that we do the work due to the controversial nature of the subject.

PAY COSTS

Question. We have discussed your "pay-for-performance" system several times over the past few years. It is clear from your responses both orally and for the record that "pay-for-performance" is considerably more expensive per staff year than the conventional annual service system under which you previously operated.

Given the budget pressures we face, isn't it prudent to reconsider your "pay-for-performance" system?

Answer. Our pay-for-performance system was phased in beginning in 1989, and was fully implemented in 1991. The objectives of the system were threefold: (1) to base rewards and compensation more directly on performance, (2) to enhance performance management, and (3) to attract and retain top caliber staff.

Since 1989, we have made considerable progress towards these goals. For example, under the pay-for-performance system, higher rewards and compensation have been directed to the better performers. Surveys and other measurements indicate that supervisors are now paying more attention to setting expectations, assessing performance, and providing feedback. Our ability to attract high caliber staff has

increased and our retention statistics correlate positively with bonus results. During the same period, productivity indicators for the agency have been up across the board.

While we can point to these results, our staff have expressed concerns about the appropriateness of a pay-for-performance system in a TQM environment and an organization where teamwork is so important. They have also expressed concerns about the system's fairness. The results of employee attitude surveys clearly suggest that many staff perceive our pay-for-performance system to be somewhat incompatible with the overall GAO culture.

As a result of this condition as well as our increasing involvement in total quality management, we are reassessing our pay-for-performance system.

REGIONAL OFFICES

Question. The Committee notes in your organization chart that GAO has several regional offices that are within close proximity of each other. For example, you have regional offices in New York, Philadelphia, Boston, Norfolk, and Atlanta, plus your main office here in Washington. In addition, you have other regional offices in the continental United States as well as Honolulu for your Far East operations and Frankfurt for your European operations. In fiscal year 1994 you are estimating that the costs of running these operations is over \$125 million.

Have you given any consideration to closing and/or combining some of these operations in order to achieve savings? If so, what offices might you suggest be considered for closing or consolidation?

Answer. A number of questions were asked concerning the consolidation or closing of GAO regional offices. In early 1991, we began a study to look at the possibility of consolidating our Chicago and Detroit regional offices. We now have one regional manager overseeing both offices. We have asked him to look for opportunities to consolidate and/or eliminate redundant functions in these two offices.

At this point, we are not convinced that we could efficiently do all of the work currently performed in these two locations with staff permanently assigned to just one location. Even if duplicative functions could be eliminated, staff would still need to perform audit work in both places. We continue to study work demands in these two locations to identify optimal staffing levels. Shutting down one location would undoubtedly result in a heavy investment in travel funds to support continuing audit work. It would also substantially affect the quality-of-life for staff assigned to work requiring constant travel.

In order to determine the impact of consolidating our regional offices, we have decided to initiate a broad-based study of GAO's regional office structure. The objective of this study will be to determine whether the current structure is compatible with the agency's mission needs. We will be assessing alternative regional structures and will determine more precisely what economies and efficiencies may be gained through consolidation. As soon as our study is complete, we will provide the results to you.

Question. Provide for the record a detailed listing of regional offices and sub-offices showing how many staff are assigned to each, and how much money is spent on office space and other support costs. Also provide for the record a map showing the territories covered by each region.

Answer. The requested information is provided on the following charts. When reviewing this information, please recognize that:

- Gross annual savings resulting from the closure of any location (i.e., the office space and support costs shown in the following summary) would be reduced by consequential, one-time costs such as those associated with relocating staff, furniture, and equipment.
- GAO is initiating a study to determine what economies could be achieved through consolidating locations.

Location	Staff per location	Office space and support costs
Regional offices:		
Atlanta Regional Office	141	\$824,265
Huntsville sublocation	29
Boston Regional Office	95	881,479
Chicago Regional Office	103	917,890
Cincinnati Regional Office	66	558,878
Dayton sublocation	34

Location	Staff per location	Office space and support costs
Indianapolis sublocation	7
Dallas Regional Office	131	1,067,165
San Antonio sublocation	14
Denver Regional Office	93	435,380
Albuquerque sublocation	16
Detroit Regional Office	85	503,131
Kansas City Regional Office	66	425,205
St. Louis sublocation	31
Oklahoma City sublocation	15
Los Angeles Regional Office	126	797,602
New York Regional Office	87	1,856,574
Albany sublocation	20
Norfolk Regional Office	94	594,510
Raleigh sublocation	10
Philadelphia Regional Office	107	468,598
San Francisco Regional Office	109	1,041,722
Sacramento sublocation	19
Seattle Regional Office	72	481,697
Portland sublocation	24
Richland sublocation	3
Subtotal	1,597	10,854,096
Overseas offices:		
European Office	50	826,375
Honolulu (Far East operations)	28	639,137
Subtotal	78	1,465,512
Total	1,675	12,319,608

United States General Accounting Office: Regional Offices



Question. How many FTE's could be saved if two typical GAO regions were consolidated into one physical location and all redundant management, administrative and support positions were eliminated? How many FTE's could be saved if GAO con-

solidated all of its east coast activities into one northeast region, Washington, D.C. and one southeast region?

Answer. Once the study of our regional office structure is complete, we should be able to provide the information requested.

Question. I understand that you have already taken some steps to consolidate the Detroit and Chicago regional offices. Please explain the status of your effort and your plans for those two offices in the future. Is it necessary to maintain two sites or could all of the work be done out of either the Chicago or Detroit location?

Answer. We now have one regional manager overseeing both the Chicago and Detroit offices. At this point, we are not convinced that we could efficiently do all of the work currently performed in these two locations with staff permanently assigned to just one location. However, we are continuing to review this issue as part of the study of our regional office structure to determine the impact of consolidating our regional offices. As soon as this study is complete, we will provide the results to you.

Question. You have recently been expanding your video conferencing capability. Please explain your plans for future video conferencing facilities and whether or not video conferencing or other technology might play a role in consolidating and streamlining the GAO field structure.

Answer. We are currently providing video teleconferencing (VTC) service at our headquarters and four regional offices (Denver, Los Angeles, San Francisco and Seattle). During the second half of fiscal year 1993, we plan to add the combined regions of Detroit/Chicago and three additional east coast offices.

In fiscal year 1994, we plan to expand VTC service to the remaining field offices. For both fiscal years, we expect to fund our VTC programs as direct offsets to our travel authorization.

Consolidation and streamlining of our field structure is currently under review and the results of the assessment of video conferencing on GAO's work processes will certainly enter into those considerations. Our views on field structure adjustments will be provided to the Subcommittee upon completion of the study.

REDUCTIONS IN ADMINISTRATIVE EXPENSES

Question. The President recently issued an Executive Order to reduce administrative expenses by 14 percent by 1997. The Joint Leadership of the Congress has endorsed that goal for the Legislative Branch.

How would you define administrative expenses?

Answer. While there is no definitive guidance available, we believe that "administrative expenses" may be defined as those costs in the object class 20 series (this series includes travel, printing, supplies and materials, contract services, and so on) that are not directly related to performance of the agency's mission work.

Application of this definition to GAO would proceed once there was general agreement within the Legislative Branch on how this reduction would be applied. Absent that agreement, we would review how funds were expended in fiscal year 1993, the base year, adjust them for inflation of 3.4 percent per year, and then determine which costs should properly be applied to administrative expenses and which are in direct support of our mission. We would exclude payments made to other federal agencies that are critical to the functioning of the agency, for example, rent paid to the General Services Administration, time sharing costs at the National Finance Center in New Orleans and at the National Institutes of Health, and payments to the State Department that are required for the operation of our office in Frankfurt, Germany. We would also have to exclude mission travel of divisions and field offices, their training, and most of our printing costs since these costs are critical to the completion of our work for the Congress.

Question. What steps would you take to cut back on administrative/overhead expenses of the General Accounting Office to achieve a 14 percent reduction by 1997?

Answer. In order to meet a 14 percent reduction in expenses by fiscal year 1997, GAO would review current policies governing administration of discretionary services aimed towards reducing the cost of those services. In some instances, specific services might have to be eliminated. In other instances, specific services may have to be limited in some way. Reductions would be necessary in administrative travel, training, supplies, contract services and in other miscellaneous goods and services accounts.

EARLY OUTS

Question. On February 10, 1993, the President issued an Executive Order to reduce the federal work force by 100,000 positions by the end of fiscal year 1995 through attrition and early outs. The Joint Congressional Leadership has commended the President on his plan to reduce government spending and the Congress

intends to achieve a comparable 4 percent reduction in the number of Legislative Branch personnel by 1995. The President's plan will make use of early out authority to help achieve its personnel objective.

Do you think that early out authority and retirement incentives would be useful in reducing the size of your work force without major organizational disruptions? What kind of incentive program, if any, would you propose?

Answer. Should it at some future point become necessary to reduce the size of our work force beyond normal attrition levels, we believe early out and retirement incentives would be useful in minimizing the disruption to the agency. I would like to be able to offer early retirement or severance pay to individual employees on a case-by-case basis.

REDUCTIONS

Question. What actions would need to be taken to accomplish a five, ten and fifteen percent reduction below the fiscal year 1993 level?

Answer. In order to meet a 5 percent reduction below the fiscal year 1993 funding level, GAO would be required to continue the present hiring freeze and, hopefully, be authorized to offer an early-out program, with incentives to avoid a RIF. We would also have to extend the current schedule for asbestos removal from the GAO building and for completion of the pilot network, and eliminate plans to upgrade outdated computer software and hardware. Additional reductions would be needed, impacting most agency accounts.

In order to meet a 10 percent reduction below the fiscal year 1993 funding level, GAO would be required to maintain the current hiring freeze, RIF approximately 1,000 staff, and retire approximately 200 staff through an early-out program. We would also be required to further extend the schedule for asbestos removal from the GAO building, cancel the planned pilot network, and impose additional reductions on agency accounts.

In order to meet a 15 percent reduction below the fiscal year 1993 funding level, GAO would be required to RIF approximately 1,400 staff and impose severe shortages in all agency programs.

SAVINGS FROM GAO WORK

Question. You reported last year that you saved the government \$36 billion. What are the components of those savings?

Answer. GAO's policy is to recognize and document GAO's actions, involvement, and influence in bringing about improvements in government operations and in achieving both measurable financial benefits and nonmeasurable benefits.

Our reviews frequently reduce the cost of programs by achieving greater efficiency, eliminating unnecessary funding, and cutting questionable programs. While many of the benefits derived from this work are not due solely to our efforts, our analysis provides the Congress and agency heads with factual information that permits them to confront controversial issues, make thorough decisions, and take necessary actions.

The largest 6 accomplishment reports claimed in fiscal year 1992 accounted for about \$26 billion of the total \$36.2 billion claimed. These are:

- Rescission of Persian Gulf Regional Defense Fund (\$14.7 billion).
- Close out of the New Production Reactor design and construction (\$3.5 billion).
- Abrams tank cancellation (\$3.1 billion).
- Increasing farm flexibility (\$2.1 billion).
- DOD secondary inventory funding cuts (\$1.5 billion).
- Rescissions due to DOD excess inventory (\$1.0 billion).

Question. How do you determine what a savings is and verify that it has really resulted in reductions to agencies' budgets? Is this real money that we can say reduced the deficit or is it more of a "paper" savings?

Answer. According to GAO policy, measurable financial benefits resulting from actions taken to implement GAO recommendations can be categorized as budgetary savings or other measurable benefits:

- Budgetary savings result from (1) congressional actions that reduce the President's budget as submitted to the Congress or (2) a rescission, deferral, or actual receipt of revenues. Such savings directly affect agencies' budgets.
- Other measurable financial benefits are those which result in the better use of funds or the avoidance or deferral of costs. Examples would be the congressional reprogramming and/or transfer of funds no longer needed for an approved program to another program where new or added appropriation authority would otherwise have been necessary. A second example would be the reduction of an agency's budget before it is submitted to the Congress.

Accomplishment reports require the same documentation, support, and reviews generally given to GAO reports. The Office of Policy (OP) works with each originating unit to resolve questions on validity or content so that quality control can be maintained.

ASBESTOS REMOVAL

Question. What is the status of your asbestos removal program in the GAO building?

Answer. The current plan calls for completion of asbestos removal and restoration of the GAO building by the summer of 1998. Under this plan, \$71.0 million has been appropriated thus far to GAO for: design, demolition and abatement, construction and occupancy of the 1st and 7th floors; design, demolition and abatement, and construction of the Penthouse; design, demolition and abatement of the 2nd and 4th floors; and construction of the 4th floor. This covers a little less than half of the GAO Building. We need \$74.5 million to complete construction and occupancy of the 2nd floor; and design, demolition and abatement, and occupancy of the 3rd, 5th and 6th floors.

The current schedule reflects the fact that the Bureau of Labor Statistics vacated the entire 2nd floor of the GAO building in September 1992. Although several years late, this action gives GAO the opportunity to work simultaneously on two floors and thereby accelerate asbestos removal and the modernization schedule. This schedule also will provide an asbestos free environment for GAO staff and will eliminate expensive leased space outside the GAO building in the shortest time and at the least overall cost.

To extend the schedule out to the year 2000 would add an additional \$4.0 million in construction costs and \$24 million in rental space costs for employees located outside the GAO building, running the overall cost for asbestos removal to \$102.5 from \$74.5 million.

COMPUTER SYSTEMS

Question. You have been working for some time to enhance your computer capabilities at GAO. What is the status of your efforts?

Answer. GAO created a Mission Support Project to design and test methods that will optimize information technology in the performance of the agency's work. Its goal is to establish a network capability within GAO to enhance communications and improve the accessibility of information, thereby improving both the timeliness and quality of work. A key instrument to realize improvements in our assignment process is the Data Collection and Analysis (DCA) application. This application is designed primarily to assist the line staff in their day-to-day activities.

The application and network are being evaluated on a pilot test basis to measure the benefits of both with regard to the timeliness, quality and effectiveness of many tasks associated with the collection, analysis, product development and sharing of information throughout a GAO assignment.

The major milestones for completion of the Mission Support Project are as follows: (1) interim report on pilot test results in June 1993; (2) MSP's application field test in October 1993; (3) final evaluation report in December 1993; (4) based on approval and funding, network completion and application implementation in participating pilot units in fiscal year 1994; (5) roll out application and network to remainder of GAO during fiscal year 1995 and 1996.

PAY-FOR-PERFORMANCE

Question. Your Pay-for-Performance system has been in place for several years. How is it working? Is it having the desired results?

Answer. As I indicated in response to your earlier question, our pay-for-performance system was phased in beginning in 1989, and was fully implemented in 1991. The objectives of the system were threefold: (1) to base rewards and compensation more directly on performance, (2) to enhance performance management, and (3) to attract and retain top caliber staff.

Since 1989, we have made considerable progress towards these goals. For example, under the pay-for-performance system, higher rewards and compensation have been directed to the better performers. Surveys and other measurements indicate that supervisors are now paying more attention to setting expectations, assessing performance, and providing feedback. Our ability to attract high caliber staff has increased and our retention statistics correlate positively with bonus results. During the same period, productivity indicators for the agency have been up across the board.

While we can point to these results, our staff have expressed concerns about the appropriateness of a pay-for-performance system in a TQM environment and an organization where teamwork is so important. They have also expressed concerns about the system's fairness. The results of employee attitude surveys clearly suggest that many staff perceive our pay-for-performance system to be somewhat incompatible with the overall GAO culture.

As a result of this condition as well as our increasing involvement in total quality management, we are reassessing our pay-for-performance system.

Question. How much more does it cost each year under PFP than it would if you had remained under the old system?

Answer. PFP is costing about 3 percent of payroll more than the former GS system. This is well within the estimate of 4 percent that I provided the Committee when we were first moving to this system 5 years ago.

Question. You have conducted several employee attitude surveys. What are the results of these surveys, and in particular, what is the reaction of the staff to the PFP program?

Answer. I have already provided for this record the complete results of our employee attitude survey. As can be seen in the response, there would probably be broad interest in an alternative pay system if one was available. This openness to change of some or all of the aspects of our PFP system reflects to some extent the internal changes that are occurring as a result of our transition to total quality management (TQM) and its emphasis on teamwork, as opposed to individual excellence.

TOTAL QUALITY MANAGEMENT

Question. You mentioned last year that you had embarked on some efforts in Total Quality Management. Will you explain what those efforts entail?

Answer. As I said in my formal statement, we have taken steps to institute quality management, a leadership philosophy that sets quality as the primary goal of everyone in an organization and establishes continuous improvement as a way of life. Quality management emphasizes management by fact and offers a comprehensive approach to managing that has helped both public and private sector organizations make significant changes in quality, efficiency, and effectiveness. One of the key strengths is that it involves all people in the organization in quality improvement efforts. We believe quality management will allow us to provide much higher levels of service to all of our customers.

In 1992, the first full-year of our quality management initiative, we gathered information on processes that we are using to set priorities for improvement for the next 4 years. We surveyed a sample of congressional staff, including both majority and minority, to elicit views on what we can do to better help Members of Congress and their staffs meet their legislative responsibilities. We also charted our core processes—the way we do our work and report our findings—and found many areas for improvement, including reducing duplication of effort, developing a common definition of quality, and improving staffing of jobs. In addition, we assessed our system of performance measurement and identified ways to improve it.

Question. Is there opportunity to use TQM to save money while maintaining or enhancing GAO's ability to respond to the Congress? If so, can you estimate how much can be saved?

Answer. Based on our survey of 32 corporations that have implemented TQM, we believe that there will be savings resulting from TQM. But as of this date, it is too early in our TQM implementation to specifically identify where those cost savings might occur.

Question. What does TQM cost?

Answer. We are currently spending about \$300,000 per year on training of our staff in the techniques required to implement TQM. After our training of on-board staff is completed this fiscal year, we would expect that future year costs for newly hired staff would be much lower.

Question. Have you been able to reconcile TQM philosophies with your pay-for-performance program? If so, how?

Answer. Our staff have expressed concerns about the appropriateness of a pay-for-performance system in a TQM environment and an organization where teamwork is so important. The results of employee attitude surveys clearly suggest that many staff perceive our pay-for-performance system to be somewhat incompatible with the overall GAO culture.

As a result of this condition as well as our increasing involvement in total quality management, we are reassessing our pay-for-performance system.

EXECUTIVE DINING ROOM

Question. Does GAO have an "executive dining room?" If so, is it subsidized by appropriated funds? Who is allowed to use the facility? Who pays for the food and drink?

Answer. GAO has a small conference facility on the 7th floor of the GAO building, in which meetings are scheduled and where frequently food is served. GAO does not maintain an "executive dining room" comparable to those found in executive branch agencies. There is no dining facility in GAO reserved exclusively for GAO executives. The conference facility is used periodically to accommodate management and staff needs for working lunches and breakfasts, evening work sessions, awards receptions, and advisory group sessions where food is served when required. When food is served, people are charged a rate that covers the costs of any food, beverages, and supplies used.

FITNESS FACILITY

Question. I understand that GAO has a fitness facility. How was the initial set up funded? How are maintenance costs taken care of? Who is allowed to use the facility? Are people permitted to use the facility on "government time?"

Answer. As authorized under Public Law (5 U.S.C. section 7901(a) (1982), we, like other federal agencies, offer our employees access to fitness programs whenever such opportunities can be reasonably provided. The purpose of such physical activity programs is to foster in our employees such desirable qualities as good health and physical fitness, and to facilitate and enhance job performance and productivity. However, it is important to note that GAO employees are not given administrative leave to exercise. They must do so on their own time.

In the basement of the GAO building, we provide a fitness facility, available to all GAO and other federal employees, that was initially set up at federal expense in accordance with the above legal authority. Annual equipment maintenance and administrative costs are borne out of usage fees paid by members of the facility. GAO provides the space for the center and protects its investment by cleaning and making any necessary repairs to the space (e.g., repairing any leaky plumbing or replacing any worn-out light fixtures).

MOTOR VEHICLES

Question. Do you have a chauffeur driven car? What kind of car is it? Is it reserved for your exclusive use, or is it used by other GAO employees as well? Do you use it to go to and from home?

Answer. GAO leases an Oldsmobile Ninety-Eight, which is operated by drivers from the GAO motor pool. The vehicle is used, primarily to take the Comptroller General and other GAO employees to meetings and hearings on Capitol Hill and at other agencies. As authorized by 31 U.S.C. 1344(b)(7), this vehicle is also used, at times, for transporting the Comptroller General to and from his home.

Question. Do you have other motor vehicles that are used by the agency? If so, how many, what are they used for?

Answer. GAO leases 13 trucks and vans, as authorized by 40 U.S.C. 491, that are primarily used to transport mail, supplies, equipment, and furniture to and from its audit sites. These vehicles are also used in limited cases to transport groups of GAO employees to meetings during the day and, as a safety measure, to nearby parking facilities after the end of regular work hours (6:00 P.M.).

INTERNATIONAL CONFERENCE

Question. You just completed your international conference this year. What were the benefits that you feel the United States gained from the conference? How much did the conference cost in total? How much was paid for by sources outside the GAO?

Answer. The XIV Congress of the International Organization of Supreme Audit Institutions (INCOSAI) held in Washington, D.C. in October 1992 was attended by over 350 delegates and observers from 120 countries and 10 international organizations. Much was accomplished during the 5 days of plenary sessions and group discussions on the changing role of government audit institutions, and on newly developed standards for accounting, auditing, internal controls, and public debt audit guidelines. Among the achievements of the XIV INCOSAI were the unanimous adoption of the following:

- standards and guidelines for auditing and internal control, and the work of the International Organization of Supreme Audit Institutions' (INTOSAI) 3 other standing committees on accounting, public debt, and EDP;

- a Protocol of operational procedures for future committee work;
- revised INTOSAI Statutes; and
- the Washington Accords containing the results and recommendations of the congress themes and work.

Over a six year period beginning in fiscal year 1988, GAO has expended about \$3.8 million of appropriated funds for the planning, administering, receiving, and sponsoring of the INTOSAI governing board meeting and the XIV INCOSAI. Although some of those funds were used for consultant services, printing, and travel, the largest portion went for language services required to pay for translating all documentation into the 5 official INTOSAI languages and for interpreting services. All governing board meetings and INCOSAI sessions were conducted in the 5 official languages (Arabic, English, French, German, and Spanish). In addition, \$8,000 of non-appropriated funds from contributions of INTOSAI countries helped to finance some of the cultural activities during both events.

Question. If there were social events associated with the conference that involved providing food, beverages, entertainment, sightseeing tours, what were those specific events and how were they funded?

Answer. During the XIV INCOSAI delegates, observers, and accompanying spouses attended a variety of special programs designed to provide them with opportunities to learn more about the history and culture of the United States. These special programs enabled participants to exchange ideas and develop stronger working relationships in an informal setting. In addition, special activities were planned for the accompanying persons during the day while the technical meetings were in session.

The cultural/historical and accompanying persons programs during the XIV INCOSAI were as follows:

Sponsor

Cultural/Historical Programs:

Bus tour of Washington, D.C	GAO
Inter-American Development Bank reception	Inter-American Development Bank
Capital Hill tour	GAO
National Air and Space Museum reception	American Institute of Certified Public Accountants
TECH 2000 reception	E D P Auditors Association

Accompanying Persons Programs:

Excursion to Art Galleries and Smithsonian	GAO
Excursion to Pentagon City	GAO
Excursion to Mount Vernon	INTOSAI Contributions

GAO's costs related to the above activities were for transporting delegates and accompanying persons to and from events. These costs were covered by appropriated funds designated for the planning, administering and sponsoring of the XIV INCOSAI.

QUESTIONS SUBMITTED BY SENATOR CONNIE MACK

FISCAL YEAR 1994 BUDGET REQUEST

Question. Overall Reduction: As you know, the joint leadership of the next Congress has called for a personnel reduction of 4 percent over the next two years and a 14 percent reduction in expenses over the next four years. I want to help meet this goal, at a minimum. What impact will reductions of that scope have upon GAO? What specific actions would you take to meet the goal?

Answer. We have had a hiring freeze in place for about two years. Assuming that our current attrition rate holds, we would be able to manage with a 2 percent drop in our staffing authorization in fiscal year 1994.

Assuming that the agency would be given sufficient funding to cover its mandatory and inflationary increases, a 14 percent reduction in administrative expenses (defined as those costs classified in the object class 20 series) over the next four years would be met by reviewing all goods and services acquired in support of the audit and evaluation work of the agency and determining whether such goods and services are critical to the continued performance of our work. Those items deemed not "as" critical, would have to be eliminated or limited in some way.

Question. Change in Mission: Your transition reports are reflective of what many see as a change in your mission, from auditing to policy analysis and advocacy. A

perceived change in mission underlies a good deal of the criticism that has come your way lately. Do you agree that the mission of GAO has changed? How do you reconcile the preparation and publication of the transition reports with your primary mission of independent auditor?

Answer. The essential elements of GAO's mission have not changed. We have always sought to contribute to improved government management and accountability by providing Congress and others who make policy with accurate information, unbiased analysis, and objective recommendations on how best to use public resources. Despite the fact that our work is increasingly found relevant and useful to those in the legislative and executive branches who must make important policy decisions, our fundamental role is still to provide reliable and objective information and analysis, and not to make the policy decisions.

The preparation of our transition reports is entirely consistent with GAO's mission as independent auditor, and in our opinion, should not be interpreted as policy advocacy. First, it is important to keep in mind that the transition series essentially recapped the results of audit and evaluation work completed by GAO during the preceding four years in the major agencies of government. The reports were prepared in response to a request from congressional leadership to assist Congress and the new cabinet officers in dealing with some of the major problem areas identified in our work. Addressing some of the more significant, complex and controversial problem areas dealt with in our reports will require decision makers to consider information and points of view from a variety of sources including agency managers, special interest groups, and local constituents who may be affected. It seems quite appropriate for policy makers to also consider the information and insights that can be provided by the government's independent auditor.

Question. Agency Compliance With Recommendations: Are agencies under any obligation to implement the recommendations you make in so many of your reports?

Answer. No, however, when GAO makes recommendations to the head of an agency, the head of the agency is required by 31 U.S.C. 720 to submit a written statement on actions taken on these recommendations to the Senate Committee on Governmental Affairs and the House Committee on Government Operations no later than 60 days after the date of the report. A written statement also must be sent to the House and Senate Committees on Appropriations with the agency's first request for appropriations made more than 60 days after the date of the report.

Question. Cost Savings Estimates: You've been asked this many times, but since I'm new to the subcommittee I'll ask again. How do you measure the savings you claim for your recommendations, especially if those recommendations are not followed?

Answer. GAO has an established procedure for identifying the savings which it claims as a result of GAO's work. This procedure is discussed in detail in the response to a previous question from Senator Reid. However, under all circumstances, GAO would claim savings only if the action has been completed or substantially completed.

Question. Policy Changes: You mention in your statement that you have some reforms of policies and procedures under study. When will those reforms be implemented, and how will they affect detailees, the agency comment period, and the holding period for reports?

Answer. After discussions with the leadership and a number of Members of both houses, we have made what I believe are some very positive changes and are considering several others.

- First, we have strongly reinforced to our staff the policy of including minority Members and staff in early discussions of our work plans to ensure that we are considering their interests and priorities.
- We will no longer undertake assignments in which the requester is unwilling to be identified as the source of the request.
- We are now sending a monthly listing of all new job starts to the House and Senate majority and minority leadership, enabling congressional committees and members to become aware of new GAO assignments early on.
- We have reduced the number of congressional detailees serving unusually long details.

Further considerations related to detailees are: (1) providing reimbursement for detailees after a fixed period, (2) requiring that staff members return to GAO for at least 2 years after a detail before being considered for another detail, and (3) limiting the number of GAO detailees.

Other changes under study include:

- Exercising greater control over decisions about when and how to obtain agency comments on congressionally requested work. We believe many cases now exist in which we could provide the agency an opportunity to comment, enhance the

quality of the report, and still satisfy the needs of congressional requesters in a timely manner. Our preference would be to provide agencies with some time in which to comment on most reports, while taking steps to ensure that in all cases, we issue our reports promptly.

—Reducing the current 30-day hold period, during which requesters can limit distribution of our final reports to others in Congress. This will permit more timely dissemination of the results of our work to other interested parties, such as other Members of Congress, agency officials, and the public.

Question. Organizational Changes: We are experiencing dramatic changes in funding for defense, non-defense domestic, and international assistance spending. How has your organization and allocation of resources changed in response?

Answer. Since the mid-70's resources at the General Accounting Office have remained roughly constant at about 5,000 staff years despite a dramatic growth in federal spending and enormous changes in the socio-economic environment of the U.S. over the same period. To adapt to this changing environment and to help ensure that we address the most important national issues and are as responsive as possible to anticipated congressional needs, we have implemented a systematic planning system that guides our work and serves as a basis for allocating GAO resources.

Through our planning system we have made, and will continue to make, changes within GAO in the work that we pursue. For example, we recently restructured our defense and international work thereby reducing from 10 distinct issue areas (our basic units of work organization) to six interrelated areas. This restructuring will allow us to better react to changes in the defense and international environment and offers advantages in the way we manage our work that should continue to enhance our overall responsiveness to the Congress. We have also recently redesigned our international trade work to focus more directly on U.S. competitiveness issues.

Similarly, we have reallocated other resources over the years to better address major shifts in funding. For example, we increased our capacity to focus on the problems faced by our banking industry by reallocating resources to review the solvency of the Banking Insurance Fund and the Resolution Trust Corporation's efforts to resolve the savings and loan debacle. We also shifted resources and plan to do more to increase our emphasis on health issues, education and employment issues, and to provide Congress better information on the impact of federal programs on the fiscal strength of state and local governments.

CONCLUSION OF HEARINGS

Senator REID. This subcommittee is recessed, subject to the call of the Chair.

[Whereupon, at 11:05 a.m., Friday, February 26, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]



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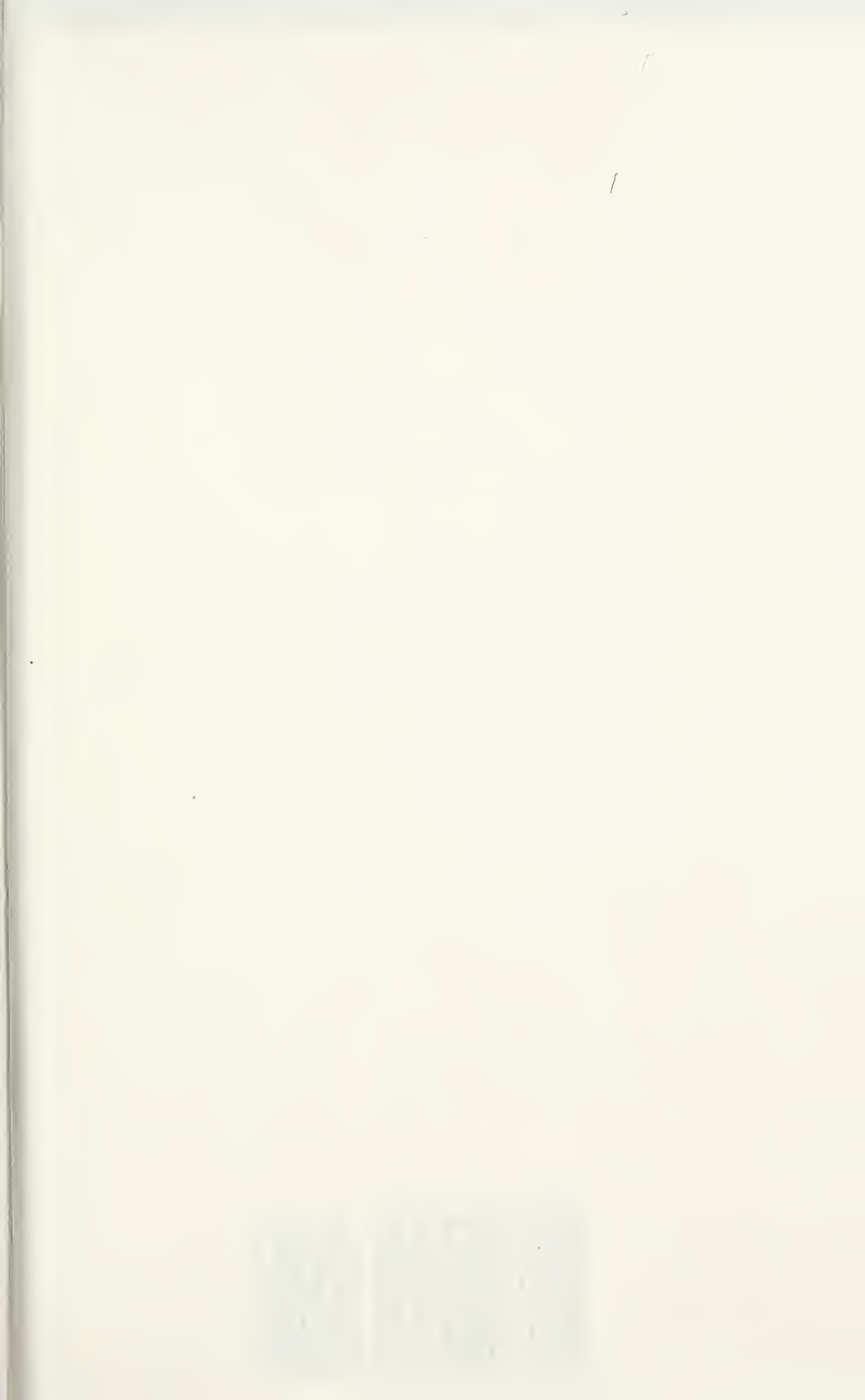
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